**Defense Integrated Military Human Resources System
(Personnel and Pay)
(DIMHRS (Pers/Pay))**

DIMHRS Human Resources Management System PeopleSoft Supportability: Initial Analysis Report

Prepared by:

**Initial Analysis Team
Presented to:
Joint Requirements and Integration Office
and
DIMHRS (Pers/Pay) Joint Program Management Office**

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EXECUTIVE SUMMARY

Introduction

The Defense Integrated Military Human Resources System (Personnel and Pay) [DIMHRS (Pers/Pay)] program was established to address the critical personnel and pay needs of the military. The objective of the program is to build a single, integrated personnel and pay management system that will provide Service headquarters with an enhanced capability to manage their forces, as well as provide individual Service Members with simplified, easily available personnel and pay support. The overall goal for DIMHRS (Pers/Pay) is to provide fully integrated military personnel and pay capability for all Components of the Military Services of the Department of Defense (DoD) with an initial operating capability by 2003. The system will enhance mission support to the warfighter and Service Departments by eliminating or reducing data collection burdens, solving operational problems, conserving resources, improving delivery of services, and enhancing readiness. Military personnel processes have been analyzed to ensure that DIMHRS (Pers/Pay) addresses major deficiencies in the delivery of military personnel and pay services. The deficiencies identified are the direct result of the inability of myriad current systems with multiple, complex interfaces to fully support current business process requirements. These deficiencies continue to impact operations and the overall quality of service provided to Service Members, and must be corrected to ensure that they receive timely and accurate personnel and pay support to include: correct pay, accurate credit for service, and appropriate benefits. The DIMHRS (Pers/Pay) Operational Requirements Document (ORD) for Milestone II, dated 2 July 2001 provides the high level requirements of the program. The following appendices are from this version of the ORD. Appendix A provides the DIMHRS System Overview, Appendix B contains a list of acronyms, and Appendix C provides the Functional System Interface Diagram.

Initial Analysis Planning

Today, government agencies are reducing new software development efforts and follow-on maintenance costs by purchasing Commercial Off-the-Shelf (COTS) solutions rather than developing them in-house. This strategy can be very cost effective when the COTS solution meets the majority of customer expectations and functional requirements. The COTS solutions can be of great benefit when underlying, foundation-based program strategies are thoroughly evaluated against a diverse set of customer requirements. A good evaluation process must identify requirements variance details so that appropriate system construction plans that will lead to successful implementation can be developed.

Planning for COTS analysis began in February 2001. A Joint COTS Analysis Team was established to plan for and facilitate the COTS Human Resources Management Solution (HRMS) initial analysis and a detailed targeted analysis. A COTS HRMS Initial Analysis Team, comprised of functional, technical and data representatives from the Joint Requirements and Integration Office (JR&IO), the Joint Program Management Office (JPMO), the DIMHRS Pay Program Office (DPPO), and the Services, was formed to perform the initial analysis. The

success of the initial COTS analysis and the targeted analysis activities will provide key joint program activities underlying the DIMHRS (Pers/Pay) path to milestone decision approval.

Initial Analysis

Initial COTS HRMS analysis is basically a comparison task providing an opportunity to understand the COTS HRMS functionality in relation to a high-level set of current DoD business practices. It is not intended to validate the COTS HRMS functionality against DoD business requirements. The next phase of COTS HRMS analysis will be targeted analysis. Targeted analysis activities will ultimately produce the complete set of detailed DIMHRS (Pers/Pay) functional requirements using PeopleSoft capabilities as a foundation.

The following outputs of this initial analysis should provide a foundation for the execution of targeted analysis:

- Scenario Documentation

- DIMHRS Standard Data Model (DSDM) Mappings to PeopleSoft Required Fields Report

- Functions, Processes and Activities (FP&A) Process Mapping to PeopleSoft Components, Issues and Comments

This report provides a detailed account of the activities executed during the initial analysis process. Major activities consisted of instructor-led training, PeopleSoft setup, scenario development and execution, data analysis, supportability analysis, and the writing of this report.

Conclusions

The PeopleSoft product delivers integrated personnel, pay and benefit functionality. The applications and modules within the product are separable; however, setup and processing functions are highly interdependent. Foundation table setup for Payroll and Benefits is highly dependent on Human Resources table setup. Much of the data entered for personnel tracking is also used for processing benefits and payroll. Most personnel and benefit actions directly impact pay processing. The Initial Analysis Team experienced numerous examples that reinforced how one table change can impact multiple processes within the PeopleSoft product. It was often necessary to have human resource, benefit, and pay perspectives to sufficiently research and resolve a processing problem.

The PeopleSoft consultants recommended an integrated implementation approach that is consistent with industry best practices for COTS HRMS. The Initial Analysis Team views integrated implementation as the key to the success of DIMHRS. This view is consistent with the latest Migration Strategy that outlines initial implementation of DIMHRS Personnel and Payroll functionality.

A significant number of setup and processing issues have been referred to targeted analysis to be explored or refined. Because setup and processing decisions in one area of the product impact setup and processing in other product areas, and because of setup complexity, setup and processing decisions must be made collaboratively.

The PeopleSoft consultants recommended an integrated analysis approach that is consistent with industry best practices for COTS HRMS. The Initial Analysis Team views integrated analysis as key to compressing the timeline to reach initial operational capability (IOC). Even with all members of the Initial Analysis Team working primarily in the same room, it was sometimes difficult to ensure communication across Human Resources, Benefit, and Payroll functional teams. With an integrated product, communication of issues and setup/processing decisions must be immediate and continuous to prevent selection of incompatible options and rework. Periodic communications (anything less than 2-3 times/day) is inadequate to achieve the level of functional integration required.

The implementation of an unmodified version of PeopleSoft requires extensive data entry into Foundation and Setup Tables. This is time consuming, resource intensive, and requires in-depth knowledge of both PeopleSoft and DoD functions and processes. The results provide self-documentation that can easily be updated from the working structure of the DoD (e.g., organizational structure and position identification).

The results of the initial analysis demonstrate that using a COTS HRMS application as a foundation for DIMHRS is feasible. However, successful implementation depends on the flexibility of DoD to accept industry best practice processes to satisfy DIMHRS business requirements, to execute effective change management strategies, and to implement a single integrated personnel and pay system for all Service components. While delivered PeopleSoft applications adequately supported the DoD human resources and benefit processes included in the initial analysis scope, there were significant issues with the payroll processes. Much of this was due to the exclusion of the PeopleSoft Time and Labor application in the initial analysis scope. In addition, the vendor provided inconsistent guidance regarding how to best set up and implement PeopleSoft pay processes to accommodate DoD pay requirements.

Initial Analysis Process

- The Initial Analysis Team consisted of representatives from each of the Services, as well as the JR&IO, DPPO, and JPMO. This mix of participants provided a wide range of functional and technical expertise in the DoD business practices, Service-unique requirements, and DoD personnel and pay system knowledge. The cross-functional team concept offers the best approach to analyzing and implementing a personnel and pay system. The integrated nature of personnel and pay actions in both PeopleSoft and DoD business practices makes a compelling argument for sustaining an integrated implementation team approach.

- PeopleSoft provided functional and technical consulting services during the initial analysis. Consultants and Initial Analysis Team analysts both experienced a learning curve at the beginning of the process. The consultants needed to understand DoD business requirements, and the team members needed to understand PeopleSoft functionality and industry best practices. While the human resources and benefits consultants provided the support needed to adapt and map DoD personnel requirements to PeopleSoft, the payroll consultants were not as successful. The first PeopleSoft payroll consultant, who was not experienced in PeopleSoft version 8.0 or Time and Labor, initiated payroll table setup options that subsequently had to be corrected by his replacement. The succeeding payroll consultant joined the Initial Analysis Team a few weeks into the effort. This chain of events considerably impeded team progress as the second consultant needed time to learn the DoD pay business practices, review the pay table setup, troubleshoot and reconcile the table setup to better represent DoD processes, as well as understand her role on the team. Once she overcame the initial complications, the payroll consultant worked conscientiously to address payroll issues.

- The approach used by the Payroll Team was to impose DoD pay computation rules and the 30-day month concept on the commercial product, instead of analyzing the results using delivered pay computation rules and a standard commercial calendar. This approach forced the COTS to adapt to DoD business practices rather than evaluating delivered commercial practices. Little analysis was done to assess the ability of delivered commercial best pay practices to support DoD payroll. Consequently, the Initial Analysis Team cannot make a comprehensive assessment of how well the commercial best practices can support DoD pay processes based on the results.

- The Time and Labor application was not included in the scope of initial analysis. Early in the effort, this shortfall further complicated payroll setup analysis. Certain DoD pay activities, such as Reserve drill, short tour accounting, and other entitlements based on a daily rate, require positive time entry functionality that is delivered in the Time and Labor application, not the HRMS and Payroll applications used for initial analysis. As a result, the Payroll Team was forced to manually calculate and enter most of the Reserve pay transactions and all of the daily rate-based entitlements. Significant analysis of the PeopleSoft Time and Labor application is necessary to determine its capability to support DoD pay processes. This activity must occur early in the targeted analysis effort.

- Benefits Administration enforces eligibility rules and automatically applies them to events that require benefit plan changes, such as intra-Service transfers. The Benefits Team encountered difficulty and spent considerable time in benefits administration table setup. This team had to revisit the table setup due to continual problems with benefits administration processing results. While PeopleSoft Benefits Administration has potential to streamline DoD benefit processing, the scope of initial analysis should have included only the base benefits provided in PeopleSoft HRMS.

- The Initial Analysis Team experienced some frustration related to PeopleSoft access. The user IDs provided to the team restricted access to many PeopleSoft system-related processing functions that were required to complete system setup. During targeted analysis, a select group of qualified individuals require unrestricted access to PeopleSoft to perform analysis and troubleshooting.

- The Initial Analysis Team received training in PeopleSoft HRMS, Base Benefits, Benefits Administration, and Payroll. While this was a good foundation, additional PeopleSoft courses are necessary to execute targeted analysis. At a minimum, the following additional PeopleSoft classes should be provided prior to the start of targeted analysis:

  - Position Management
  - Competency Management
  - Career/Succession Planning
  - Payroll II
  - Time and Labor
  - Year-end Payroll
  - Pension I
  - PeopleTools Foundation
  - Application Engine
  - Time and Labor Rules
  - Business Process Design

PeopleSoft Application and Functionality

- Product-Enabled Process Engineering/Business Process Reengineering (BPR) – In the analysis of PeopleSoft, the emphasis is to identify whether or not the required outcomes of a DoD business process are met by delivered PeopleSoft capabilities. If a desired outcome is not evident in the delivered product, the DoD needs to identify the valid need for the outcome, and determine whether current business practices or policy/law/regulations can change or whether it is necessary to modify the product to meet the outcome. This is a paradigm shift that emphasizes adoption of industry best practices.

- PeopleSoft fully integrates personnel and pay functionality. This integration results in interdependence of personnel and pay setup tables as well as transaction execution.

- PeopleSoft offers more self-service capabilities than legacy systems. Self-service requires DoD to entrust Members with the maintenance of their own personal data, such as address, W-4 tax elections, pay disbursement (direct deposit) options, and voluntary deductions. Since the Member is the authoritative source for this information, self-service should be considered as a viable option for collecting and maintaining this data. Implementing self-service will streamline certain data entry processes for DoD personnel and pay staff, thereby permitting reallocation of scarce personnel and pay administrative resources.

- PeopleSoft provides the capability to implement workflow and automatic event triggers that streamline business processes. Capabilities include business process maps as an alternative to navigating through the menus, automatic notification of defined events such as accessions and promotions to defined user roles, and database agents that monitor defined events such as Member evaluation due dates. Targeted analysis should incorporate workflow into all follow-on analysis efforts, to include creating a business process map for each business process and defining event notification rules and roles.

- As an alternative to customizing the base product, PeopleSoft provides user exits to external programs and other products for DoD-specific processing. This approach mitigates PeopleSoft upgrade impacts.

- The Initial Analysis Team feels that one of the most significant challenges to successful implementation of PeopleSoft is change management. The change management strategy must address the paradigm shifts required to migrate the Services to an integrated personnel and pay system, as well as DoD-standard processes and data. There must be a comprehensive strategy for introducing the product and training Members in the new way of accomplishing DoD business requirements using commercial best practices.

SECTION 1

1. INTRODUCTION

1.1 Overview

The purpose of the Initial Analysis Report is to annotate the methodology, process, and results of the COTS HRMS Initial Analysis:

- Section 1 – Introduction: This section provides a brief background of the DIMHRS (Pers/Pay) program. It also defines the scope of the COTS Initial Analysis and its primary objectives.

- Section 2 – Methodology: This section describes the DIMHRS COTS Analysis Plan and the approach taken for the initial analysis.

- Section 3 – Findings and Outcomes: This section summarizes the results of the initial analysis and provides valuable information for use during the targeted analysis.

- Section 4 – Conclusions: This section provides final comments on the initial analysis process and PeopleSoft application functionality.

- Section 5 – References: This section lists references used to execute the COTS Initial Analysis and prepare this report.

- Appendix A – DIMHRS System Overview.

- Appendix B – List of Acronyms.

- Appendix C – Functional System Interface Diagram.

- Appendix D – DoD Terms Related to PeopleSoft Terms.

- Appendix E – Initial Analysis Team Members: This appendix lists the people from JR&IO, the Services, DPPO, JPMO, and PeopleSoft that participated in the Initial Analysis.

- Appendix F – Training Assessment Summary Charts.

- Appendix G – DIMHRS (Pers/Pay) Functional Hierarchy: This appendix contains a diagram depicting the functional breakdown of DIMHRS (Pers/Pay) FP&A.

- Appendix H – FP&A Internal Working Document with Key Work Products Identified: This appendix contains a list of expected outcomes and work products for each of the FP&A processes. This information served as a basis for performing the mapping between FP&A processes and PeopleSoft components.

- Appendix I – Scenario Session Structure and Agendas.

- Appendix J – Sample Service Organization and Position Data.

- Appendix K –DSDM Mapping to PeopleSoft Required Fields.

- Appendix L – FP&A Process Mapping to PeopleSoft Components.

- Appendix M – DIMHRS Issue Identification and Resolution Process: This appendix discusses the DIMHRS issue identification and resolution process used in the Initial Analysis.

- Appendix N – DIMHRS PeopleSoft HRMS Workplan.

- Appendix O – Scenario Supporting Documentation: This appendix contains the process model, data entry template, expected results, and screen shots for each scenario.

- Appendix P – DIMHRS Issues: This appendix contains the Issue Review Forms for each of the issues identified by the Initial Analysis Team.

- Appendix Q – Initial Analysis Internal Issues Log.

1.2   Background

The DIMHRS (Pers/Pay) program was established to address the critical personnel and pay needs of the military. The program's directive is to build a single integrated military personnel and pay system for all Services.

The evaluation of a COTS solution is in accordance with provisions of the Clinger-Cohen Act of 1996, which calls for government agencies to use COTS and Government Off-The-Shelf (GOTS) software solutions whenever possible. Potential benefits of a COTS HRMS solution are:

- **Implementation of Human Resources Best Practices** – In order to make their product attractive to a wide variety of buyers, COTS vendors build their products on industry-standard best practices. Furthermore, COTS vendors work with their clients to constantly refine their product, incorporating processes that have proven effective in a variety of organizations and environments.

- **Faster and Cheaper System Development and Implementation** – COTS HRMS implementations tend to be completed in less time and for less cost than custom system implementations because a COTS HRMS application already meets an organization's core business needs. This translates into less design and development time. This benefit can translate into significant savings for organizations that are replacing major business functions.

- **COTS HRMS Applications Support a "Buy Most, Build Some" Strategy** – A COTS HRMS application provides core functionality that an organization needs. Business requirements specific to an individual organization are customized within or extend the COTS HRMS application.

GartnerGroup, Inc., a leading provider of research and advisory services on Information Technology (IT) vendors, products, technologies, and architectures, conducted a study to identify potential benefit drivers of acquiring packaged applications (e.g., COTS). The following lists some of the benefits of implementing COTS HRMS applications:

- **Savings from Data Rationalization** – There is often a large payback from a data rationalization exercise, especially in organizations with multiple business units.

- **Savings from Process Changes** – Workflow can automate certain previously manual approval routings, as in the waiver process. Even more advantageous is the ability to eliminate some of the steps or redundancies in the process, and then apply automated workflow capabilities. Elimination of non-value-added activities can significantly reduce the cost of processing certain transactions.

- **Soft Benefits** – This includes newer application software that can improve delivery of services and the quality of information available for decision support.

1.2.1 COTS HRMS Product Selection

The Initial Analysis Team used the commercial version of PeopleSoft Human Resources Management System (HRMS) Version 8.0, the core product application in the PeopleSoft Human Resources Management Solution (HRMS) suite of applications, to perform the DIMHRS COTS initial analysis. On 20 March 2001, the DIMHRS program selected PeopleSoft HRMS Version 8.0 based on a full and open competition. The selection included the following applications:

- Human Resources
- Payroll for North America
- Time and Labor
- Benefits Administration
- Pension
- ERecruit
- ECompensation
- ECompensation Manager Desktop
- EProfile
- EProfile Manager Desktop

- EBenefits

- EDevelopment

- EPay

- Workforce Analytics Workbench

- Workforce Rewards

- Workforce Scorecard

- Employee/Enterprise Portal

1.3   Scope

The scope of the initial analysis includes the applications and modules of PeopleSoft necessary to execute the business scenarios defined by the Initial Analysis Team.   The team walked through functionality included in these applications and modules (Human Resources, Benefits Administration, and Payroll for North America), and loaded foundation and setup tables in the order required by the product.   The team executed business scenarios and analyzed the results. The supportability analysis sub-team mapped the DIMHRS FP&A processes to PeopleSoft components, and documented issues and recommendations.   The data sub-team mapped PeopleSoft required fields to the DSDM.

The scope of the initial analysis as defined during the Implementation Planning and Strategy Workshop (IPSW) includes the following ten personnel business processes, as well as a representative sample of six benefit types, five pay types, and four deduction types:

- Personnel Business Processes

  - Access Member

  - Dependent Support

  - Job Classification

  - Assignment

  - Change Grade

  - Status Change (inter-Service, component)

  - Award

  - Career Management (Re-enlist/Retain Members)

  - Retire

  - Discharge

- Benefits

  - Annual Leave

- ○ Annual Leave Sell

- ○ Thrift Savings Plan

- ○ Dental Plan

- ○ Servicemen's Group Life Insurance (SGLI)

- ○ Death Gratuity

- • Authorize Pay and Allowances

  - ○ Basic Pay, including Basic Allowance for Housing (BAH) and Basic Allowance for Subsistence (BAS)

  - ○ Drill Pay

  - ○ Flight Pay

  - ○ Certified Registered Nurse Anesthetist Bonus

  - ○ Selective Reenlistment Bonus

- • Deductions

  - ○ Armed Forces Retirement Home

  - ○ AAFES Third Party Debt

  - ○ Non-Judicial Punishment Forfeiture

  - ○ Garnishment

1.4   Objectives

The overall goal of the COTS Initial Analysis was to determine, at a high level, the supportability of DIMHRS (Pers/Pay) business needs within PeopleSoft HRMS. The following objectives supported the overall goal:

- • Employ product-enabled engineering techniques to identify gaps between DoD business practices/processes and PeopleSoft HRMS processes.

- • Identify issues related to the use of delivered PeopleSoft functionality and processes, and recommend process and policy changes if those changes would help streamline the business process and help develop a common process that all Services could use.

The objectives of the Initial COTS HRMS functional analysis are to:

- • Educate the Initial Analysis Team members on PeopleSoft functionality

- • Educate PeopleSoft consultants on the DIMHRS military pay and personnel business functions

- • Identify how the DIMHRS personnel and pay business functions could be supported within PeopleSoft

- Configure the PeopleSoft HRMS for DIMHRS (Pers/Pay)

- Enter sample DIMHRS (Pers/Pay) data into PeopleSoft tables

- Execute DIMHRS business scenarios using PeopleSoft

- Document policy and application issues related to using the PeopleSoft HRMS as the DIMHRS foundation.

SECTION 2

2. METHODOLOGY

This section describes the initial analysis methodology. It describes the different stages of initial analysis effort, guiding principles, initial analysis team composition, and the DIMHRS issue identification and resolution process.

The Initial Analysis Team, consisting of representatives from the JR&IO, the Services, DPPO, and JPMO, conducted the initial analysis from 21 May – 17 August 2001 at three locations: JPMO in New Orleans, Louisiana; DPPO in Denver, Colorado; and JR&IO in Arlington, Virginia.

Initial analysis is a process used to compare the capabilities of a COTS application against an organization's business needs. This process is typically the first step in an implementation project, performed after an organization has decided to implement a COTS solution and has selected the COTS application best suited to their needs. This process helps the organization either by modifying and configuring the COTS software or by changing corporate policies and procedures. The DIMHRS initial analysis effort included the following stages and activities:

- Integrated Business Scenario Development

- PeopleSoft Setup

- Scenario Execution and Analysis

- Data Mapping

- Supportability Analysis.

The organization uses the results of initial analysis to develop approaches and workplans for the later stages of implementation (e.g., design activities, development, training, organizational design, etc.). Outputs from initial analysis are provided to targeted analysis teams to define detailed functional requirements. During detailed design, functional requirements documented during initial and targeted analysis are translated into technical specifications for implementation in the development phase. Initial analysis outputs are also used as part of the organization's change management activities, which include training, implementing statutory/policy/procedure changes and other activities tied to personnel/organizational performance and management.

2.1 Team Composition

The following sections describe the composition of the Initial Analysis Team. The Initial Analysis Team was sub-divided when necessary to most effectively accomplish various stages of the initial analysis. Appendix E contains a complete listing of team members, their home organization, and role on the team.

2.1.1   Initial Analysis Team

Table 2-1 contains a list of all members of the Initial Analysis Team.

Table 2-1. Initial Analysis Team

JR&IO and Service Representatives	DPPO Representatives	JPMO Representatives	PeopleSoft Consultants
Mike Lincecum	Pete Nolte	Anita Canafax	Larry Barrett
Marty Mitchell	Terry Bachur	Steve Bessette	Stephanie Aronica
Beverly Green	Rebecca Balderston	Phil Brammer	John Chapman
Laura Ajer	Elizabeth Dieppa-Wells	Steve Ellis	Susan Stickler
Rod Eslinger	Frank Murgel	Keith English	Lesley Toops
Bobbi Jackson	Tom Reedy	Renata Smith	
Letetia Johnson	Marge Smith		
Monica Smith	Mark Tisi		
Richard Furillo (USAF)			
Valerie Lubin (USA)			
Mike Klosek (USMC)			
Kim Pavelec (USN)			

2.1.2   Functional Teams

The Initial Analysis Team was divided into functional teams during the base table setup stage of the initial analysis. The Initial Analysis Team as a whole made joint decisions on the PeopleSoft foundation tables, however, in order to maximize time and participation, the team was divided into functional sub-teams to analyze and populate the PeopleSoft setup tables. The sub-teams consisted of representatives from JR&IO, the Services, DPPO, and JPMO. The teams met regularly to discuss issues, coordinate joint setup decisions, share setup information, and discuss lessons learned.

Figure 2-1 illustrates the functional team organization structure.
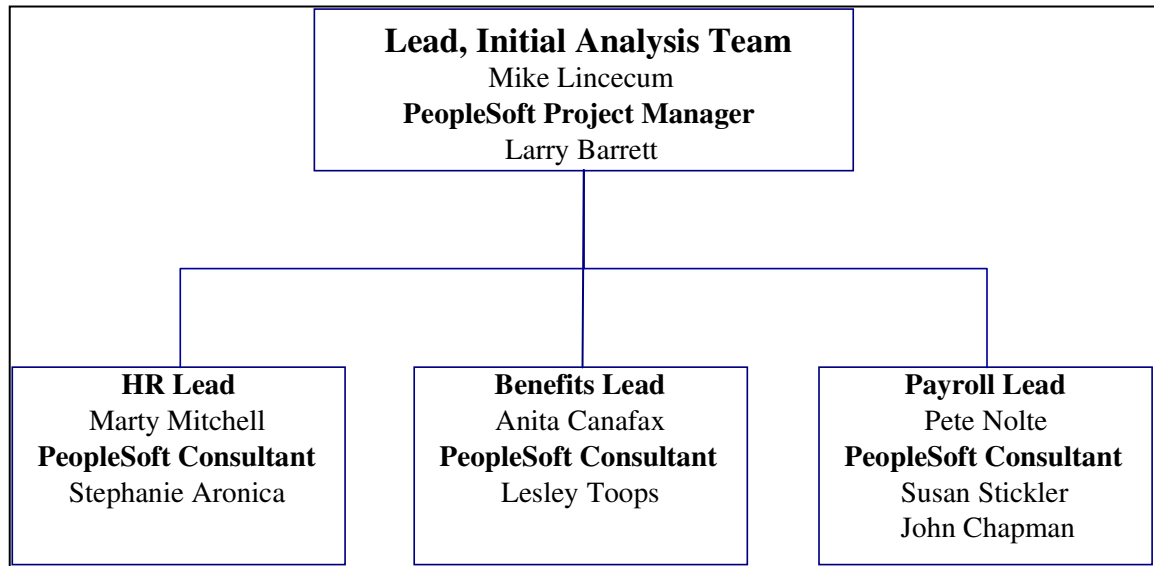
Figure 2-1. Functional Team Organization

Table 2-2 contains a list of functional sub-team members.

Table 2-2. Functional Sub-team Members

Human Resources	Benefits	Payroll
Marty Mitchell (Team Lead)	Anita Canafax (Team Lead)	Pete Nolte (Team Lead)
Keith English	Rod Eslinger	Rebecca Balderston
Bobbi Jackson	Richard Furillo	Terry Bachur
Valerie Lubin	Mike Klosek	Steve Bessette
Tom Reedy	Mark Tisi	Liz Dieppa-Wells
Monica Smith		Steve Ellis
Renata Smith		Beverly Green
		Frank Murgel
		Kim Pavelec

2.1.3   Service Teams

Once the functional teams established and populated the PeopleSoft foundation and setup tables, the Initial Analysis Team was reconfigured into Service sub-teams and a support team. The Service teams were responsible for finalizing the Service scenarios, gathering data necessary to support the scenarios, populating remaining setup tables, determining expected scenario results, executing the scenarios, troubleshooting any issues, and documenting results.

Figure 2-2 illustrates the Service and Support team organization structure.
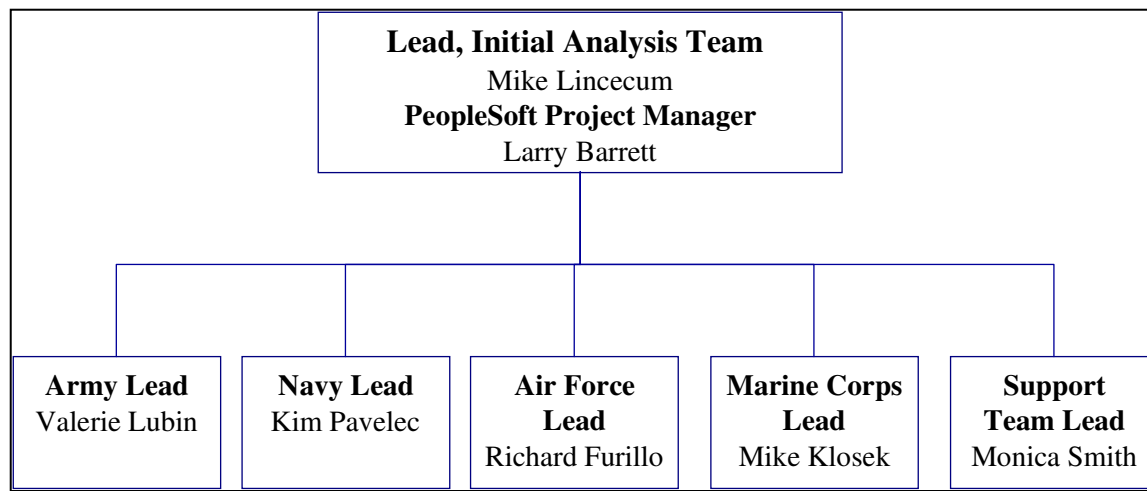
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┌─────────────────────────────────────────────────────┐
│           Lead, Initial Analysis Team               │
│                  Mike Lincecum                       │
│           PeopleSoft Project Manager                 │
│                  Larry Barrett                       │
└─────────────────────────────────────────────────────┘

┌──────────┐ ┌──────────┐ ┌──────────┐ ┌──────────┐ ┌──────────┐
│Army Lead │ │Navy Lead │ │Air Force │ │Marine    │ │Support   │
│Valerie   │ │Kim       │ │  Lead    │ │Corps     │ │Team Lead │
│Lubin     │ │Pavelec   │ │Richard   │ │  Lead    │ │Monica    │
│          │ │          │ │Furillo   │ │Mike      │ │Smith     │
│          │ │          │ │          │ │Klosek    │ │          │
└──────────┘ └──────────┘ └──────────┘ └──────────┘ └──────────┘
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Figure 2-2. Service and Support Team Organization

Table 2-3 identifies the members of the Service and Support teams.

Table 2-3. Service and Support Teams

Army	Navy	Air Force	Marine Corps	Support
Valerie Lubin (Service Rep)	Kim Pavelec (Service Rep)	Richard Furillo (Service Rep)	Mike Klosek (Service Rep)	Monica Smith (Team Lead)
Bobbi Jackson	Liz Dieppa-Wells	Terry Bachur	Rebecca Balderston	Stephanie Aronica
Renata Smith	Steve Ellis	Keith English	Beverly Green	Anita Canafax
Mark Tisi	Marty Mitchell	Rod Eslinger	Frank Murgel	Pete Nolte
			Tom Reedy	Susan Stickler
				Lesley Toops

2.1.4   Data Team

The Data Team performed a comparison and mapping between DSDM data and PeopleSoft data. This team consisted of:

- Marge Smith – Team Lead
- Phil Brammer
- Letetia Johnson

2.1.5   Supportability Analysis Team

The Supportability Analysis Team performed an initial mapping between the DIMHRS FP&A processes and PeopleSoft components. The team consisted of:

- Monica Smith – Team Lead
- Stephanie Aronica
- Rebecca Balderston
- Rod Eslinger
- Marty Mitchell
- Pete Nolte
- Renata Smith

2.2   Training

2.2.1   PeopleSoft Tutorial

In preparation for PeopleSoft training, members of the Initial Analysis Team were required to complete the PeopleSoft 8.0 Pre-Class Navigation Tutorial. The tutorial addressed the following key topics that users should understand prior to taking PeopleSoft training courses:

- Navigating Overview
- Using Menus and Search Pages
- Viewing Data
- Adding New Data
- Action Types and Effective-Dated Rows

2.2.2   PeopleSoft Training Courses

The Initial Analysis Team received instructor-lead training from PeopleSoft at JPMO during the first three weeks of the initial analysis effort.   Based on the scope of the initial analysis, PeopleSoft recommended and conducted the following PeopleSoft training courses:

Course	Dates
Introduction to HRMS	21 – 22 May 2001
Introduction to Benefits	23 – 24 May 2001
Benefits Administration	29 May – 1 June 2001
Payroll I – U.S.	4 – 8 June 2001

2.2.3   Training Assessment Results

A training assessment survey was distributed to the Initial Analysis Team members so they could evaluate their training experience and provide input as to how well the training prepared them to execute the initial analysis effort. Results of this survey are summarized here with supporting statistical graphics provided in Appendix F.

The training assessment survey used a 10-point scale, with 0 meaning not satisfied and 9 meaning very satisfied. The Initial Analysis Team members were generally satisfied with the PeopleSoft training provided, although two of the respondents were consistently "somewhat satisfied" giving all courses a rating of 5. No training classes received any rating below 5.

Responses to the questions regarding how well the training prepared the team for the initial analysis effort were generally not as favorable. The average scores for the training courses were all over 7, while the average scores on how effective the training was were clustered around 6. The average scores clustered around 5 for the question, "How well did the training prepare you for your most difficult task?"

All respondents said they needed more training. The areas of training considered most relevant were:

- Time and Labor

- Workflow

- Payroll II

- Competency Management.

The following themes were prevalent in the general comments section of the survey:

- The PeopleSoft training provided a good foundation for the initial analysis.

- Generally, the PeopleSoft trainers were better and more knowledgeable than the PeopleSoft consultants.

- The PeopleSoft trainers should have continued working with the team as consultants or the PeopleSoft consultants should have participated in the training courses with the Initial Analysis Team.

- There was conflicting information from the PeopleSoft trainers versus the PeopleSoft consultants.

- PeopleSoft consultants needed to be more knowledgeable with PeopleSoft HRMS Version 8.0.

2.3 Integrated Business Scenario Development

A subset of the Initial Analysis Team was tasked to develop a set of integrated business scenarios to use as the basis for analyzing the ability of PeopleSoft to support DIMHRS business requirements. The Initial Analysis Team began this process by reviewing the business processes, benefit types, and pay types identified as within scope for the initial analysis in the DIMHRS PeopleSoft HRMS IPSW Project Charter and the DIMHRS COTS HRMS Initial Analysis Plan. These items served as the basis for creating realistic scenarios representative of DoD personnel life cycle activities.

The Human Resources, Benefits, and Payroll functional teams each created scenario scripts based on the previously identified business processes and on their military experience, the FP&A, and their knowledge of PeopleSoft acquired during training. Appendix G contains the DIMHRS (Pers/Pay) Functional Hierarchy and Appendix H contains the FP&A Internal Working Document with Key Work Products Identified.

The functional teams then worked as a combined team to integrate the personnel, benefits, and payroll scenario script items into a single set of integrated scenarios. This involved reviewing the individual personnel, benefits, and pay actions and determining the most appropriate way to combine the requirements into a set of realistic scenarios. The scenarios included enough detail to test specific DoD activities required by the personnel life cycle described in the FP&A. The team leads and consultants worked together to assign transaction dates to each of the items included in the scenarios. Section 3.1 addresses the scenarios in detail.

The team leads created the Scenario Session Structure, which organized the scenario transactions into payroll periods culminating in six sessions. The team leads developed a detailed agenda for each scenario session. The agenda identified each of the scenario actions, the Service teams responsible for running the scenarios and documenting the results, as well as the other human resources, benefits, and payroll processes necessary to complete scenario execution. The

Scenario Session Structure and agendas served as the plan for executing the scenarios and are provided in Appendix I.

Once the team finalized the integrated scenarios, they used their Service resources to collect sample data necessary to support the scenarios. This included data to populate the PeopleSoft Foundation and Setup tables such as Company, Business Unit, Location, Department, Job Code, Salary Administration Plan/Grade/Step, Position, etc. Appendix J contains the notional Service organization and position data used in the scenarios.

2.4   PeopleSoft Setup

This section provides a high-level description of the effort required to set up PeopleSoft for the initial analysis. Setup for DIMHRS will be far more complex. There were no modifications to PeopleSoft during the initial analysis process.

PeopleSoft applications are based on relational database technology and web architecture. The PeopleSoft applications use a relational database technology to provide a flexible, user-friendly environment to maintain, track, and administer Human Resources, Benefits, and Payroll. The foundation tables are key to implementing PeopleSoft HRMS. The foundation tables provide a structure to establish and maintain all of an organization's core data on-line, eliminate redundant data entry by providing default values, and help enforce data integrity by ensuring consistency. The foundation tables must be established in a specified order prior to capturing data or processing personnel transactions in the system.

PeopleSoft uses various types of tables to serve different purposes.

- The Translate Table stores values on fields that do not require individual prompt tables. These valid field values are effective-dated, relatively static, include only a code and its description, and are between one and four characters in length.

- Processing and Defaulting Tables contain pre-defined values that the system automatically inserts on specific pages based on other context information entered by a user.

- Control Tables are used to define the organization structure and associated processing rules.

- Transaction tables record an individual's personnel transactions.

The entire Initial Analysis Team participated in PeopleSoft Consultant-led demonstrations of PeopleSoft foundation tables, as well as discussions and decisions related to table setup to support DIMHRS. The following sections provide highlights of decisions made during table setup activities.

2.4.1   Foundation Tables

The foundation tables establish a significant amount of primary processing, defaulting, and control used in PeopleSoft applications. These tables must be set up and populated with all valid values prior to loading existing Member data or processing Member transactions within PeopleSoft. Foundation table setup requires a significant amount of analysis effort to determine the most appropriate and effective settings and values to support the organization's business processing and reporting requirements. Table 2-4 lists the PeopleSoft foundation tables taken from the Introduction to Human Resources PeopleSoft HRMS Version 8.0 Training Participation Guide.

Table 2-4. PeopleSoft Foundation Tables

Foundation Tables:	
1. Installation Table	Processing rules
2. Company Table	Legal Entity/Federal Employer Identification Number (FEIN) (U.S.)
3. TableSet ID	Identifies sets of rows in the control tables
4. Business Unit	Logical entity defining a Company's structure
5. TableSet Control Table	Map SetIDs to a control value such as a Business Unit
6. Primary Permission List Preferences	Defaults per user
7. Business Unit HR Defaults	Defaulting determined by Business Unit
8. Establishment Table	Regulatory Reporting (U.S. only)
9. Location Table	Physical location/mail
10. Department Table	Organizational Unit/Security
11. Comp Rate Code Table	Components that make up pay
12. Salary Plan/Grade/Step Tables	Salary structure
13. Job Code Table	Job attributes
14. Pay Group Table	Payroll processing

The Initial Analysis Team made the following decisions when populating the foundation tables:

- Installation Table – The Installation Table is used to specify various defaults, processing rules, and counters for the system to use. There is only one set of installation table data for each install site, and this table must be set up before populating the other foundation tables. The Installation Table contains seven pages of information. Significant DIMHRS setup decisions are provided below.

  ○ The Products page identifies each of the installed products. The JPMO and PeopleSoft installed PeopleSoft Human Resources, Benefits Administration, Payroll for North America, and all of the self-service applications in the initial analysis database. Although the self-service applications were installed, the scope of initial analysis did not include evaluation of these applications.

  ○ On the HRMS Options page the Initial Analysis Team designated DoD as the default Company. The team selected the Partial Position Management option (although all Members will be assigned to a position/billet in PeopleSoft), designated "Monthly" as the default compensation frequency, and selected the multi-step grades option.

  ○ On the Product Specific page the Initial Analysis Team selected the "retroactive benefits/deductions" benefits option. Under payroll options, the Initial Analysis Team selected Automatic Employee Tax Data. This function automatically establishes Member tax information based on home address. The team opted for this functionality due to the high number of hire/accession transactions, and believed that the default capability would save a tremendous amount of data entry. However, this option should not be used for the actual DIMHRS implementation since the Member's home address is not always used as the legal residence for tax purposes and we do not always want to automatically update tax information based on a Member's home address change. The Multiple Jobs Allowed function was not enabled for initial analysis; however, this option should be explored during targeted analysis with respect to temporary duty and deployments.

  ○ The Team set the default country on the Country Specific page to "USA," with "English" as the associated language code.

  ○ Last ID Assigned page includes various counters used by the system for auto-number generation, such as Last Employee ID Assigned and Last Position # Used. PeopleSoft provides the capability to use manually assigned or auto-generated Member identification numbers (PeopleSoft EMPLID). DoD currently uses social security number (SSN) as the Member EMPLID; PeopleSoft captures SSN as National ID. The Initial Analysis Team entered "999999" as the last employee ID assigned to prevent auto-number generation in order to implement current DoD practices. The teams manually entered SSN as the EMPLID during Hire actions. Last Position number used was left blank to allow for auto-generation of position numbers during initial analysis. Further analysis is required to determine the best approach for position numbering during targeted analysis.

○ The team did not set up third-party system interface information on the Third Party/System page. The targeted analysis team needs to define these parameters based on the interfaces and system roll-out strategy.

○ The Alternate Character page is used to specify alternate character sets the system will use for a particular language code. If the DoD chooses to allow foreign characters (such as the umlaut in German, tilde in Spanish, and the cidella in French), the relevant character types must be specified on this page. The team did not specify any alternate character sets.

• Company Table – This table is used to enter information for the companies within an organization. A company is typically defined as a business unit that has a unique FEIN for payroll tax reporting purposes. PeopleSoft recommended that DIMHRS use a single company (e.g., FEIN) for the entire DoD. This will require consolidating the seven FEINs currently used by the Services/Components into a single FEIN for all of DoD. Targeted analysis should investigate tax implications of this course of action. The Initial Analysis Team created one company, DOD, for initial analysis.

• TableSet ID – PeopleSoft delivers TableSet IDs as a way to share redundant information among Business Units. The key to sharing information is defining what data is available under specific circumstances. SetIDs must be established to enable data sharing. TableSet sharing simply consists of assigning specific SetIDs to specific record groups for individual Business Units. A record group is a set of logically and functionally related control tables and views. The TableSet ID page is used to add or update SetIDs in the PeopleSoft HRMS system. An organization defines SetIDs for the purpose of administering certain control tables, like the Department Table, in a decentralized way. When defining SetIDs, an organization must determine how it wants to categorize subsets of control table data. For example, location codes are shared DoD-wide among all Services, however, Job Codes (occupation codes) are specific to each Service. If an organization needs to use multiple SetIDs to set up TableSet sharing for the first Business Unit created (before creating any additional Business Units), create SetIDs in the TableSet ID page prior to defining the Business Unit. Table 2-5 lists the SetIDs established by the Initial Analysis Team to facilitate data sharing for the entire DoD, each Service, and each Service Component.

Table 2-5. SetIDs

SetID	Description	Short Description
DOD01	Department of Defense	DoD
USA01	US Army Share	USA01
USAAC	US Army Active	USAAC

SetID	Description	Short Description
USARS	US Army Reserve	USARS
USANG	US Army National Guard	USANG
USN01	US Navy Share	USN01
USNRS	US Naval Reserve	USNRS
USNAC	US Navy Active	USNAC
USAF1	US Air Force Share	USAF1
USAFA	US Air Force Active	AF Active
USAFR	US Air Force Reserve	USAFR
USAFG	US Air National Guard	USAFG
USMC1	US Marine Corps Share	USMC1
USMCA	US Marine Corps Active	USMC
USMCR	US Marine Corps Reserve	USMCR

- Business Unit (BU) Table – Business Units provide a flexible structuring device, beyond the capability provided by the Department Table and the Department Security Tree, that allows an organization to implement PeopleSoft based on how it's business is organized. Business Units represent the first logical breakdown of the organizational hierarchy, and are also used to address other specific functional needs of the organization. The Initial Analysis Team determined that there was a need to define business units for the entire DoD, each Service, and each Service Component. The team recommends that these business units continue to be used for targeted analysis, although others will likely be needed to accommodate other functional processing and reporting needs (e.g., DoD civilians, Members of the Uniformed Services, contractors). Table 2-6 lists the business units established in DIMHRS for initial analysis.

Table 2-6. DIMHRS Established Business Units

Business Unit	Description	Short Description
DOD01	Department of Defense	DOD
USA01	US Army Share - BU	USA01
USAAC	US Army Active	USAAC
USANG	US Army National Guard	USANG
USARS	US Army Reserve	USARS
USAF1	US Air Force Share - BU	USAF1
USAFA	US Air Force Active	USAFA
USAFG	US Air National Guard	USAFG
USAFR	US Air Force Reserve	USAFR
USMC1	US Marine Corps Share - BU	USMC1
USMCA	US Marine Corps Active	USMCA
USMCR	US Marine Corps Reserve	USMCR
USN01	US Navy Share - BU	USN01
USNAC	US Navy Active	USNAC
USNRS	US Naval Reserve	USNRS

- TableSet Control Table – The TableSet Control table is used to specify which SetID a Business Unit uses for each defined PeopleSoft record group. Once SetIDs and Business Units are established, the next step is to determine which SetID is used to access each of the defined record groups for Human Resources for each Business Unit. For example, since all Service Components share locations, the SetID associated with the Locations record group for all of the Business Units would be set to DOD01. The Initial Analysis Team established TableSet Controls for each of the defined Business Units.

- Primary Permission List Preferences – PeopleSoft delivers this table to control system default values for each user. Based on the default values indicated on this table, when a user signs on to PeopleSoft, the system defaults the values specified here. For example, when a search dialogue box prompts the user for a SetID, the default SetID established in the Primary Permission List Preferences page appears in the SetID field. These preferences are used to streamline data entry by pre-populating certain fields for the user, however, the user may change these default values if necessary. The Initial Analysis Team's user IDs were associated with a delivered PeopleSoft Primary Permission List (PPUSA). The team set up the preferences for PPUSA based on DoD needs:

Primary Permission List	Business Unit	SetID	Regulatory Region	Company	Country
PPUSA	DOD01	DOD01	DOD	DOD	USA

- Business Unit HR Defaults – This table is used to set system defaults, such as Company and Country, for a specific SetID. By setting up default field values for a SetID, these values automatically populate fields for the user. Since SetID is the key for this table, these default settings can be shared among multiple Business Units.

- Establishment Table – This table is used to define distinct physical places of business (establishments) within an organization for Equal Employment Opportunity (EEO) and Occupational Safety and Health Act (OSHA) reporting purposes. Although the military is not required to perform standard EEO and OSHA reporting, PeopleSoft requires that one Establishment ID be created for use in defining U.S. locations on the Location Table. Therefore, we created one establishment, DOD1.

- Location Table – This table is used to establish the physical locations within an organization. The Initial Analysis Team decided to use the DoD physical installation codes, as well as Reserve and Guard locations, as locations in PeopleSoft. All DoD Service components share location codes. For DIMHRS implementation, all locations associated with organizations and Members must be loaded into the Location Table. All Member job records must have a valid location code. The initial analysis included 56 locations. Table 2-7 provides a sample of the location codes used in the initial analysis scenarios.

Table 2-7. Sample Location Codes

Location	Description	Short Description
AL006	Maxwell Air Force Base	Max AFB
CA901	Camp Pendleton	Cp Pend
CA923	March Air Force Reserve Base	March AFRB
DC916	Pentagon Navy	Pent USN
FL013	Jacksonville	Jaxs
FL016	Mayport Naval Station	Mayport
GA005	Robbins Air Force Base	Robb AFB
GA006	Fort McPherson	Ft McPhers
GA009	Fort Gillem	Ft Gill
GE907	Heidelberg	Hldbg
GE908	Kaiserslauteren	K Town
GE909	Ramstein Air Force Base	Ram AFB

- Department Table – This table is used to define the business entities within an organization. These departments can also be the foundation for establishing row-level security for Member data. PeopleSoft is set up to grant or deny users access to rows of Member data based on department. The Initial Analysis Team decided to use Unit Identification Code (UIC), Personnel Accounting Symbol (PAS), and Reporting Unit Code (RUC) as the Department ID. Components of a Service share Department IDs. The Initial Analysis Team populated the Department Table with sample Service UIC/PAS/RUCs and equivalent derivative UICs to support the scenarios. As each Service is brought on-line in DIMHRS, all of that Service's organizations must be loaded into the Department Table prior to migrating Member data into the system.

- Comp Rate Code Table – This table is used to establish rate codes associated with base pay and non-base pay rates. PeopleSoft allows a person's pay to consist of multiple rate codes or pay components. These components can then be grouped together under a Comp Rate Code. PeopleSoft requires that an organization use at least one Comp Rate Code. The Initial Analysis Team created two: NAMNLY for Monthly Pay and BAHC for Basic Allowance for Housing pay component.

- Salary Plan/Grade/Step Tables – The Salary Plan Table is used to group employees into unique salary categories. The Initial Analysis Team decided to use a single salary administration plan for DoD during the initial analysis. They made this decision because Reserve pay is based on the daily rate derived from the Active monthly pay. The Salary Grade Table is used to specify the minimum, maximum, and midpoint salary rates for grades. The Salary Step Components page is used to associate salary components (Comp Rates) with salary steps within a salary grade, and to define the number of months to the next step increment. The Human Resources Team populated the salary grades and steps based on the published pay rates. Salary Step intervals were set up based on DoD longevity rules. In PeopleSoft, steps are assumed to be within a grade, however, the DoD tracks step (longevity) without association to grade. More detailed analysis will be necessary to inactivate PeopleSoft processes that automatically reset a Member's step during grade change actions such as promotion and demotion.

- Job Code Table – PeopleSoft uses Job Codes to identify unique jobs (occupations) within an organization. Job Codes provide a way to create general groupings or job classifications in an organization. In PeopleSoft, Job Codes are different from positions. A single Job Code can be used by multiple positions, however, a position is used to identify details for a particular job in a particular department or location, and there is usually a one-to-one relationship with employees. Every unique position must also be identified in setup tables. People cannot be assigned to positions that are not established in the position data table. The Human Resources Team populated the Job Code table with sample Job Codes to support the Service scenario positions. Job Codes are shared among Components of a Service. Note that the PeopleSoft Job Code field is only six characters in length. This is insufficient to accommodate specialty skills, such as Special Qualification Identifier (SQI)/Additional Qualification Designator (AQD)/Special Experience Indicator (SEI), in some current DoD skill classifications. DoD will need to use PeopleSoft Manage Competencies to track specialties. This topic is addressed in section 3.2.2 DIMHRS Issues. The Initial Analysis Team also had to set up necessary job families in the Job Family Table based on the career fields associated with the Job Codes. The team set up default salary administration plans at the position level because position is more specific than Job Code.

- Pay Group Table – This table logically organizes Members for payroll processing. The Payroll Team established Monthly, Semi-Monthly, and Weekly pay groups. The Payroll Team also selected the appropriate pro-ration rule to apply when pay is credited for a partial pay period (e.g., hire/termination) and when pay rate changes occur during a pay period. PeopleSoft delivers three pro-ration options: percent of annual, rate per workday, or percent of period. The Payroll Team reviewed all three pro-ration rule options during scenario execution.

2.4.2   Human Resources Setup Tables

The Human Resources Team made the following significant decisions during Human Resources table setup.

- Department Security Tree – The PeopleSoft Tree Manager provides a visual means to build a hierarchy of security for an organization. The department security tree gives a graphic means to grant and restrict user access to Member data based on the organizational hierarchy defined in the security tree. Security trees are effective-dated to enable tracking of changes made to an organizational structure, and provide flexibility in planning changes to the structure prior to implementation.

  The Initial Analysis Team used the delivered tree structure for the Department Security Tree and defined a notional hierarchical department security tree structure for each Service based on its operational reporting structure. Once the structures were in place, the Human Resources Team manually populated the nodes (organizational units/departments) on the tree using the departments (UICs/PASs/RUCs) loaded in the Department Table. Population of the Department Security Trees must be performed manually. Each organization entered into the Department Table will need to be manually inserted into the department security based on the existing hierarchical relationships between other organizations. Significant time and effort will be required to establish the full Service Department Security Trees for each Service. Manual population of Service Security Trees is required prior to migrating Member data into DIMHRS. Once the trees have been created and populated, it is necessary to run PeopleSoft processes to put the tree into effect, and to grant and restrict access to the trees.

  The Initial Analysis Team successfully implemented Department Security Trees for each Service.

- Action Reason Table – In the course of maintaining Member and non-Member information, an organization must enter changes to personnel data resulting from business activities such as promotions, transfers, terminations, and leaves of absence. Each of these activities is called a personnel action. These actions are entered in the Job Data Work Location panel. There may be different reasons for performing the same type of personnel action for people, and these reasons are defined in the Action Reason Table. The Human Resources Team, augmented by Benefits and Pay representatives, reviewed the delivered PeopleSoft Action and Action Reason Codes and made an initial determination of relevancy to the DoD. The Human Resources Team did not add any new Action codes based on advice from PeopleSoft consultants. These codes drive a significant amount of PeopleSoft processing. However, the team did add DoD-specific Action Reason Codes. The Human Resources Team worked with the Benefits Team to properly set up each of the codes based on related benefit event triggers and actions.

The Human Resources Team recommends that further analysis be performed to define PeopleSoft action reasons to accommodate all military personnel transactions, as well as personnel, duty, and casualty statuses in accordance with DoD business requirements and the DoD standard data element for Duty Status. In addition, targeted analysis must ensure the codes reflect necessary benefit and pay impacts.

The Human Resources Team originally intended to use the PeopleSoft Assignment action to accommodate various duty assignments. However, the team determined that the Assignment action code is used in conjunction with multiple jobs and global assignments. The multiple jobs option has the potential to be used to accommodate temporary duty and deployments. However, the scope of initial analysis did not allow for inclusion of these other complex functions. The Initial Analysis Team recommends that targeted analysis teams address this issue in more detail. The team identified the Transfer action as the appropriate action for Member assignments.

Table 2-8 lists the Action Reason Codes added by the Human Resources Team.

Table 2-8. Additional Action Reason Codes

Action	Action Description	Reason	Action Reason Description	Abbreviation
DEM	Demotion	DIS	Disciplinary Action	DIS
HIR	Hire	ENL	Enlisted Recruit	ENL
HIR	Hire	OFF	Officer Candidate	OFF
HIR	Hire	RTC	ROTC Trainee	RTC
LOA	Leave of	AWL	Absence Without Leave	AWOL

Action	Action Description	Reason	Action Reason Description	Abbreviation
	Absence			
PLA	Paid Leave of Absence	PEB	Pending PEB	Pend PEB
PRO	Promotion	MPC	Military Personnel Class	MPC
REH	Rehire	ENL	Enlisted Prior Service	Enl PS
REH	Rehire	OFF	Officer Prior Service	OFFPS
RFL	Return from Leave	AWL	Return from AWOL	Return AWL
TER	Terminate	DSC	Discharge	Discharge
TER	Terminate	INS	Insubordination	Insubordin
TER	Terminate	PEB	Physical Evaluation Board	PEB
XFR	Transfer	ADR	Reserve Active Temp Duty	Res Tmp DY
XFR	Transfer	CMP	Intra Service Transfer	Intra Xfer
XFR	Transfer	DTY	Duty Assignment	DTY
XFR	Transfer	PCS	Permanent Change of Station	PCS
XFR	Transfer	RNC	Reassignment No Cost	RNC
XFR	Transfer	SVC	Inter-Service Transfer	Svc Xfer
XFR	Transfer	TDY	Temporary Duty	TDY

- Position Data – PeopleSoft positions are comparable to DoD billets. Position data associates a specific Job Code with a department (UIC/PAS/RUC) at a specific location, and corresponding compensation information, such as salary administration plan and grade. Positions are specific to a Service Component. Position data is dependent upon many of the foundation tables, including Establishment, Company, Business Unit, Department, Location, Job Code, etc. The Human Resources Team populated the Position Data table with notional Service positions necessary to support execution of the scenarios, and established a sample Role with related competencies and accomplishments. Every position in each Service (Component) will have to be fully documented in setup tables prior to loading Member data.

- Contract Data – The Human Resources Team reviewed the Contract Data setup tables and concluded that this functionality would be applicable to military service contracts and that DoD should seek to standardize contracts and contract clauses wherever possible. The Human Resources Team populated the following Contract Data setup tables with sample data that was shared across all Services and Components:

  o Contract Type Table

    - ENL Enlistment

    - REN Reenlistment

    - APT Appointment

  o Contract Clause Table

  - 30K $30K Reenlistment Bonus

    - 4YR 4 Year Enlistment

    - 6YR 6 Year Enlistment

    - GR1 1 Year College Grade Accelerator

    - GR2 2 Year College Grade Accelerator

    - MS6 Military Service Obligation 6 Years

    - MS8 Military Service Obligation 8 Years

    - OCT Open Contract

    - SCT Specified Job Contract

  o Contract Template Table – Each contract template was set up to include the relevant subset of Contract Clauses. Specific clause selection is performed on the Member Contract Data record.

    - APT Acceptance Appointment

- ENL Enlistment Contract

- REN Reenlistment Contract

- Checklist Item and Checklist Tables – These tables contain a list of individual activities, forms, tests, etc. that must be completed to process specific personnel and pay actions. The checklist feature has potential for wide applicability across the DoD to standardize and reduce the manual processes in use today (e.g., PCS and deployment). The Human Resources Team recommends adding fields to the Employee Checklist page to track the responsible agency and supporting document for each checklist item. The Human Resources Team created a sample Overseas Processing Checklist in the Checklist Table. Table 2-9 lists the items added to the Checklist Item Table.

Table 2-9. Additions to Checklist Item Table

Checklist Item	Description	Short Description
BRIEF	Initial Relocation Briefing	Relo Brief
MED	Medical Clearance - Svc Mbr	Mbr Med Cl
DENTAL	Dental Clearance - Svc Mbr	Mbr Den Cl
PASS	Passport Initiation - Svc Mbr	Mbr Passpt
TOUR	O/S Tour Election	Tour Elect
CCTVL	Concurrent Travel Request	CCTVL
SECCL	Security Clearance Request	Sec Cl Req
EFMP	Exceptional Family Member Prog	EFMP
TDY	TDY Enroute	TDY En
RETAIN	Service Retainability	Svc Retain
MEDFML	Medical Clearance - Family Mbr	FM Med Cl
PASSFM	Passport - Family Member	FM Passpt
FIN	Finance Clearance	Fin Clnc

- <u>Manage Competencies Setup Tables</u> – PeopleSoft uses these setup tables to track Member competencies and accomplishments, as well as establish Role (position, job, job family, or job function) competency and accomplishment requirements. Requirements for a position can be specified using the Role Competency and Role Accomplishment pages within Manage Competencies. DoD should use competencies (Competencies Table) to track occupational specialties. Significant analysis is required to properly establish competency and accomplishment related information for the DoD. The Human Resources Team determined that the Language Table, Major Table, and Degree Table could be used as delivered for initial analysis. The Human Resources Team populated the following tables with sample data:

  ○ Rating Model Table – Created a rating model with values from 1 – 5.

  ○ Match Evaluation Types – Created value for Approved/Official Evaluation. The Human Resources Team also had to associate the evaluation type with each of the user IDs in order to enable access to the Approved/Official Evaluation Type under the Employee Review page. Further analysis is necessary to define DoD evaluation types and associated user roles. The Employee Review page is one of the pages that can be used to assign Member proficiency ratings, which are required to perform competency matches between Members and Roles.

  ○ Competency Type Table – Added value "SKILL" to track skills.

  ○ Competency Table – Added the following competencies as SKILL competencies:

    - SNIPER   Sniper Qualification

    - WPNQUAL   Weapons Qualification

  ○ Role Competency – Created a sample role for Job Code 3P051 and associated the above two skill competencies as requirements.

  ○ Role Accomplishment – Established accomplishment requirements for Job Code 3P051.

  ○ School Table – Added three colleges/universities.

  ○ Major Table – Added three disciplines relevant to the scenarios.

  ○ Degree Table – Used the delivered values.

  ○ License/Certification Table – Added value "CNA" for Certified Nurse Anesthetist.

  ○ Membership Table – No values added for initial analysis. Targeted analysis should consider using this table to track religious denomination and other organizations with which Servicemen and women maintain membership.

  ○ Language Table – Used the delivered values for initial analysis. During targeted analysis, the teams need to ensure that all languages, including those used for encryption, are loaded into this table.

  ○ Test Table – Added value "PT" for physical fitness test.

- ○ Honor/Award Table – Added the following values:

  - AFCM   Air Force Commendation Medal

  - ARCOM   Army Commendation Medal

  - USMCOM   Marine Corps Commendation Medal

  - NAVY COM   Navy Commendation Medal

- **Labor Relations Setup Tables** – PeopleSoft provides the capability to define types of disciplinary actions and grievances (such as correction of records), as well as the steps taken to address them and potential resolutions. The initial analysis scenarios included disciplinary actions, but not grievances. The Human Resources Team populated the following tables:

  - ○ Disciplinary Type Table – Created one disciplinary type – "NJP" for Non-Judicial Punishment.

  - ○ Disciplinary Step Table – Created the following disciplinary action steps:

    1. Formal Notification

    2. Member's Response

    3. Legal Review

    4. Administer Punishment

  - ○ Resolution Type Table – Created two resolutions:

    - DEM   Demotion

    - NJF   Non-Judicial Forfeiture

- **Track Global Assignment Setup and Transaction Tables** – This PeopleSoft module utilizes the Assignment action reasons and facilitates tracking of multiple concurrent jobs for a Member, one at a home station and one at a host organization/location. The scope of initial analysis did not permit time to analyze the use of multiple jobs.

- **Monitor Health and Safety Setup Tables** – PeopleSoft provides extensive capabilities related to tracking medical information as well as injury and incident details. The Human Resources Team populated the following setup tables with sufficient data to execute one of the scenarios:

  - ○ Accident Table – Added value "VEH" for Vehicle accident type.

  - ○ Body Part Table – Added value "LEG" for Leg.

  - ○ Nature of Injury Table – Added value "BRKN" for Compound Fracture/Break.

- ○ Source of Injury Table – Added value "AUTO" for Automobile accident.

- • Translate Table - The Human Resources Team added DoD-specific values to a number of fields in the Translate Table. A JPMO representative provided the Human Resources Team with update access capability to add the following values to the Translate Table:

  - ○ Marital Status **-** Married to Service Member

  - ○ Address Type - Home of Record

  - ○ Checklist Type - Assignment

  - ○ Employee Class:

    - Active

    - Reserve

    - Guard

    - Name Suffix

    - Jr.

    - Sr.

    - III

2.4.3   Benefits Setup Tables

The Benefits Team set up the following benefit plans and coverage options based on current DoD policy:

- • Benefit Program Table – This table is the highest level table for benefits. This table defines the Plan Types and Options in the benefit program and adds important information about each plan type including cost and event rules. The Benefits Team setup two benefit programs, one for Active Duty Members (ACT) and one for Reserve/Guard Members (RES). The team decided not to setup a benefit program for non-employees during initial analysis since they were not part of the scenarios.

- • Benefit Plan Table – The Initial Analysis Team defined the benefit plans, including benefit plan type and benefit plan name to be used during Initial Analysis. PeopleSoft delivers pre-defined codes for plan types. Within the system these codes act as a kind of referee, keeping information organized.

  After naming a benefit plan, one of the following associated tables—the Health Plan Table, the Life and AD/D Plan Table (Accidental Death and Dismemberment Plan Table), Savings Plan Table, Leave Plan Table, or Vacation Buy/Sell Table—was used to further define the plan details. Table 2-10 lists the benefit plans created by the Benefits Team.

Table 2-10. Benefit Plans

PS Plan Type	Benefit Plan	Description
Dental	Dental	DoD Family Dental Plan
Life	Waive	No coverage
Life	Life-1	Coverage of $10,000
Life	Life-2	Coverage of $20,000
Life	Life-3	Coverage of $30,000
Life	Life-4	Coverage of $40,000
Life	Life-5	Coverage of $50,000
Life	Life-6	Coverage of $60,000
Life	Life-7	Coverage of $70,000
Life	Life-8	Coverage of $80,000
Life	Life-9	Coverage of $90,000
Life	Life-A	Coverage of $100,000
Life	Life-B	Coverage of $110,000
Life	Life-C	Coverage of $120,000
Life	Life-D	Coverage of $130,000
Life	Life-E	Coverage of $140,000
Life	Life-F	Coverage of $150,000
Life	Life-G	Coverage of $160,000
Life	Life-H	Coverage of $170,000
Life	Life-I	Coverage of $180,000
Life	Life-J	Coverage of $190,000
Life	Life-K	Coverage of $200,000

PS Plan Type	Benefit Plan	Description
Life	Life-L	Coverage of $210,000
Life	Life-M	Coverage of $220,000
Life	Life-N	Coverage of $230,000
Life	Life-P	Coverage of $240,000
Life	Life-Q	Coverage of $250,000
Death Grat	Death	Death Gratuity
Thrift	Thrift	Member Thrift Savings Plan
Thrift	TSP-SM	Thrift – Service Match
TSP-IP	TSP-IP	Thrift – Incentive/Special Pay
Vacation	Leave	Leave Accrual
Vacn Sell	Sellv	Sell Leave

- Provider/Vendor Table – This table is used to track basic vendor information such as address, policy information, contact name, and phone number. Multiple addresses and contacts may be entered for each vendor.

- Coverage Code Table – PeopleSoft delivers seven basic coverage codes (such as employee, employee +1, etc.), and more can be added or deleted as the needs of the organization and workforce dictate.

- Health Plan Table – This table is used to define the plans offered by the organization. It is used to define the basic attributes that control enrollment validation and processing.

- Life and AD/D Plan Table – This table is used to define how the system calculates coverage for a life or AD/D plan.

- Savings Plan Table – Savings plans and investments are one of the most common employee benefits offered by employers. Savings plans are probably the most complicated benefit—in terms of design, administration and taxation. PeopleSoft provides multiple table setups to implement commonly used plan designs.

- Leave Plan Table – This table is used to define details for each leave plan. The system maintains the Accrual Process Date, which is the date of the last completed leave accrual calculation process.

- Flat Rate Table – This table is used to store the premium rate when each Member pays the same rate regardless of earnings, length of service, age, or gender.

- Age Graded Rate Table or Service Rate Table – These tables are used to add a set of rates that are based on length of service or the age of Member. If there is a limit to the amount a Member pays for a benefit, the portion of the rate that is subject to the limit is indicated.

- Dependent Relationships Table – This table is used to tie relationships (spouse, son, daughter, and so on) to benefit roles (dependent, beneficiary, or both).

- Eligibility Rules Table – This table defines rules to determine eligibility for Benefit Programs and Benefit Plans. The Benefits Administration Eligibility Parameters table is used to define the parameters for an eligibility rule.

- Event Class Table – This table defines types or classes of Benefits Administration events and indicates how event classes are handled. The Event Class Table can be used to define additional event classes based on the organizational needs or processes.

- Geographic Location Eligibility Table – This Geographic Location Eligibility Table is used to define postal code ranges for the Member's home or work locations, most typically to refine eligibility criteria for health plans or regional rate structures.

2.4.4   Payroll Setup Tables

The Payroll Team made the following decisions during setup of the Payroll tables.

- Frequency Table – PeopleSoft provides a set of standard pay frequencies and enables the client to establish pay frequencies to support unique salary requirements. The PeopleSoft consultants derived a client-specific frequency for DIMHRS that bases salary on a 30-day month. The Payroll Team tested both delivered and client-specific frequencies in the scenarios.

- Holiday Table – The PeopleSoft automated payroll calendar process uses the Holiday Table to ensure paydays are not scheduled to fall on a designated holiday. The Holiday Table was set up to identify Federal holidays falling within the established pay periods.

- Balance ID Tables – The Payroll Team created Balance IDs to track calendar year-to-date and fiscal year-to-date totals.

- Bank/Branch Table – This table allows the setup of data values that identify all financial institutions involved in the pay process, including Member-designated accounts for direct deposit. The Payroll Team set up sample Member account banks.

- Source Bank Table – This table contains information concerning the bank and account on which payroll checks will be drawn. The Payroll Team setup the Federal Reserve as the paying bank for initial analysis.

- Forms Table – PeopleSoft uses this table to track the last form number used by the payroll process. Examples include check number and pay advice number. The Payroll Team decided to use the delivered number system that starts with "1".

- Pay Message Table – This table contains error messages that PeopleSoft displays when errors occur during pay processing. The Payroll Team accepted the delivered messages based on advice from the PeopleSoft consultant. The team recognized that additional error messages would need to be defined to support DoD custom validation routines.

- GL Interface Table – PeopleSoft uses this table to assign accounting codes (classifications) to all pay, allowances, deductions, and tax withholding amounts for use in an interface to an accounts payable system. The Payroll Team did not set up this table as it was outside the scope of initial analysis.

- Account Code Table – This table establishes account codes used to assign accounting values to computed pay, allowance, and deduction amounts. For initial analysis, the Payroll Team created unique account codes for each earning, deduction, and tax withholding code tested in the scenarios. The Payroll Team intended the setup to accomplish a basic test of PeopleSoft capability to pass accounting type information as envisioned in the DIMHRS/Defense Corporate Database (DCD) interface.

- Deduction and Earnings Tables – The Payroll Team set up military pay entitlements and deductions using the following tables. The setup included assigning a 3-character code to each entitlement/deduction and defining its attributes such as tax effect, taxability, and computation parameters.

  ○ Deduction Table

  ○ General Deduction Table

  ○ Company General Deduction Table

  ○ Earnings Code Table

- Special Accumulator Table – The Payroll and Benefits Teams set up special accumulators to track non-taxable earnings, leave sell, and thrift savings.

- Earnings Program Table – PeopleSoft uses the Earnings Program Table to establish sets of earnings codes that a group of employees is entitled to receive. All individual earnings codes must be linked to an earnings program in order to process. The Payroll Team set up one earnings program to accommodate both regular and reserve component earnings.

- Pay Run Table – This table establishes valid Pay Run IDs that group pay calendars from different pay groups together for pay processing. The Payroll Team set up unique Pay Run IDs for each pay group within each pay period in the initial six-month session schedule. PeopleSoft consultants created Pay Run IDs for two years prior and six months after the original six-month period.

- Pay Calendar Table – The Payroll Team created entries in this table for each pay group included in each pay period within the original six-month session schedule. The team selected calendar year 2000 in order to test leap year. The PeopleSoft Consultants created pay calendars for the two years prior and six months after the original six-month period. This table also contains information concerning the status of each scheduled payroll, and is automatically updated based on the executed payroll processes. The Payroll Team consulted this table to monitor each payroll process.

- Garnishment Setup Tables – The Payroll Team reviewed the following garnishment tables and populated them, where necessary, to support the scenarios. These tables should be referred to the Defense Finance and Accounting Service (DFAS) Garnishment functional and technical experts for review during targeted analysis.

  ○ Garnishment Rules Table

  ○ Garnishment Payee Table

  ○ Garnishment DE Definition Table

  ○ Garnishment Prorate Definition Table

- US Savings Bond Table – This table supports employee purchase of Savings Bonds by payroll deduction. DoD legacy pay systems include bonds within the allotment functionality.

- Tax Tables – The Payroll Team reviewed and set up the following tax-related tables to support the initial analysis. The team did not review the local tax tables, however, recommend that targeted analysis investigate their potential to implement the existing requirement to withhold local tax from reserve pay earnings.

  ○ State Tax Table

  ○ State Tax Reciprocity Table

  ○ State Marital Status Table

  ○ Tax Location Table

  ○ Tax Type Table

  ○ Fed/State Tax Type Classes

  ○ Local Tax Table

  ○ Local Tax Reciprocity Table

  ○ Local Tax Type Classes

  ○ Taxable Gross Definition Tables

  ○ Company State Tax Table

  ○ Company Local Tax Table

      ○ Tax Collector Table

- <u>Shift Table</u> – The Payroll Team did not initially establish an entry in the Shift Table, however, during scenario execution they determined that at least one shift must be established in order to execute the payroll process. The Payroll Team created a single shift value of "NA" for not applicable.

- <u>Tax Reporting Setup Tables</u> – The Payroll Team reviewed the W-2 related tables and set up sufficient information for initial analysis. The team did not perform an in-depth analysis of this functionality as it was out of scope. PeopleSoft delivers standard tax forms.

    ○ W-2 Company Data

    ○ Tax Reporting Parameter

    ○ Tax Form Definition Table

    ○ Tax Form Print Parameters

- <u>Final Check and Retro-Pay Setup Tables</u> – The Payroll Team reviewed and set up the following tables required for the PeopleSoft final check and retro-pay processes, and established one retro-pay earnings code.

    ○ Final Check Action Reason Code Table

    ○ Final Check Program Table

    ○ Retro-Pay Program Table

    ○ Retro-Ben/Ded Program

2.5   Scenario Execution and Analysis

The Initial Analysis Team used the Scenario Session Structure and Agendas (Appendix I) as a plan to prepare for and execute scenarios. In an effort to facilitate scenario execution, the team created Service scenario data entry templates based on the PeopleSoft components and fields required for all the scenario actions. The Service Teams populated the templates with sample data. This exercise helped the Service Teams understand more fully the intent of the scenarios as well as solidify their understanding of how to execute the scenarios in PeopleSoft.

The Service Representatives performed a consistency check of the populated scenario templates. This activity not only served to standardize PeopleSoft processes among the Services, but also helped each of the Service Representatives gain an appreciation for the similarities and differences among the Services' processes and business rules. In addition to the data entry templates, the Service Teams calculated and documented expected pay and benefits results for each action in the scenarios. Section 3.1 provides a detailed assessment of each scenario.

Once the data entry and expected results were documented, the Service Teams executed the scenarios based on the Scenario Session Structure and Agendas. The standard session format is summarized below:

1. The lead Service Team used the data entry template as a guide to enter Member data and execute the personnel and pay transactions for scenarios scheduled for the session. The lead Service Team captured screen prints of each PeopleSoft page throughout scenario execution, and documented issues and unexpected results.

2. Once the lead Service Team completed the scenarios for the session, the other Service Teams executed the scenario using their own data entry templates. They also captured screen prints and documented any Service-unique situations, anomalies and other results not experienced by the lead team.

3. The Benefits Team demonstrated execution of the various benefits administration processes. Once the Service Teams understood the process, they were able to run the on-demand process as required.

4. The Payroll Team executed the PeopleSoft payroll processes after the Service Teams completed all required data entry and personnel, benefits, and pay transactions for the session, and ran applicable PeopleSoft payroll reports.

5. The Payroll Team and Service Teams then compared expected results with the actual results shown on the PeopleSoft payroll reports. These teams worked to identify and resolve inconsistencies. This often involved changing setup tables and rerunning the payroll processes until the expected results were achieved or anomalous results could be explained.

2.6   Data Mapping

The Data Team performed a preliminary analysis that resulted in an initial mapping between PeopleSoft HRMS data fields and the DSDM based on the limited scope of initial analysis. To accomplish this, the Human Resources, Benefits, and Payroll Teams provided screen shots or reports showing the values entered in the foundation and setup tables. The Data Team exported the PeopleSoft record, field, and screen definitions from the system tables using Application Designer and imported them into the DIMHRS PeopleSoft Data Analysis tool. The Data Team then used the screen shots and reports to select data elements (PeopleSoft record.field name) for mapping. Finally, the selected data elements were imported into DART (Data Analysis Reconciliation Tool) for the mapping process. The Data Team also imported the data elements included in the scenarios templates into Data Analysis Reconciliation Tool (DART) using the same process.

The Data Team established an order of precedence for the mapping process. The first priority data elements were those used in the foundation and setup tables, as well as those included in scenario templates, regardless of PeopleSoft requirements (many of these elements were also required by PeopleSoft). Second priority data elements were those included on scenario or

foundation table setup screens and required by PeopleSoft, but were not used in the foundation tables or scenario templates. The Initial Analysis Team approved this order of precedence.

The Data Team used the comparison capabilities of DART to determine if the PeopleSoft data elements, or the concept they represented, were present in the DSDM. The Data Team documented the mappings in DART and the results are provided in Appendix K.

2.7   Supportability Analysis

The Supportability Analysis Team performed an initial mapping of the DoD- and Service-validated DIMHRS FP&A processes to PeopleSoft components.

The Supportability Analysis Team reviewed the FP&A processes and the outcomes contained in the FP&A Internal Working Document with Key Work Products Identified (Appendix H) to gain a better understanding of the expected outcomes of the FP&A processes. The Supportability Analysis Team used this document as a basis to map the FP&A processes to the specific PeopleSoft components (user display pages/screens) necessary to achieve expected outcomes. The mappings between FP&A processes and PeopleSoft components do not imply that all required functionality exists in PeopleSoft, only that some comparable functionality is delivered. The Supportability Analysis Team documented the FP&A process mappings to PeopleSoft components in the COTS Analysis Tool. The FP&A process mappings to PeopleSoft components are provided in Appendix L.

The Supportability Team performed an initial analysis of each mapping to determine whether there was some comparable PeopleSoft-delivered functionality to support DoD business practices or whether implementing the commercial best practice would require changes to current DoD processes or law. The Team documented issues and recommendations related to each of the mappings and FP&A outcomes where no comparable PeopleSoft capability was evident. The proposed mappings and associated issues and recommendations document an initial set of the PeopleSoft components necessary to achieve the required outcomes. This information will serve as a basis to perform more detailed targeted analysis to fully define DIMHRS functional requirements based on PeopleSoft; identify necessary adaptations to existing policy, guidance, and processes; identify necessary PeopleSoft adaptations; perform data conversion; and design interfaces.

2.8   DIMHRS Issue Identification and Resolution Process

The primary activity of the Initial Analysis Team was to identify differences between functional requirements and the functionality provided by PeopleSoft. Figure 2-3 outlines the issue identification and resolution process that the Initial Analysis Team followed to document and resolve these differences. All issues that the Team generated during the initial analysis were maintained in an Issues database within the COTS Analysis Tool. Appendix M contains a detailed description of the DIMHRS Issue Identification and Resolution Process.

Issue Review Process
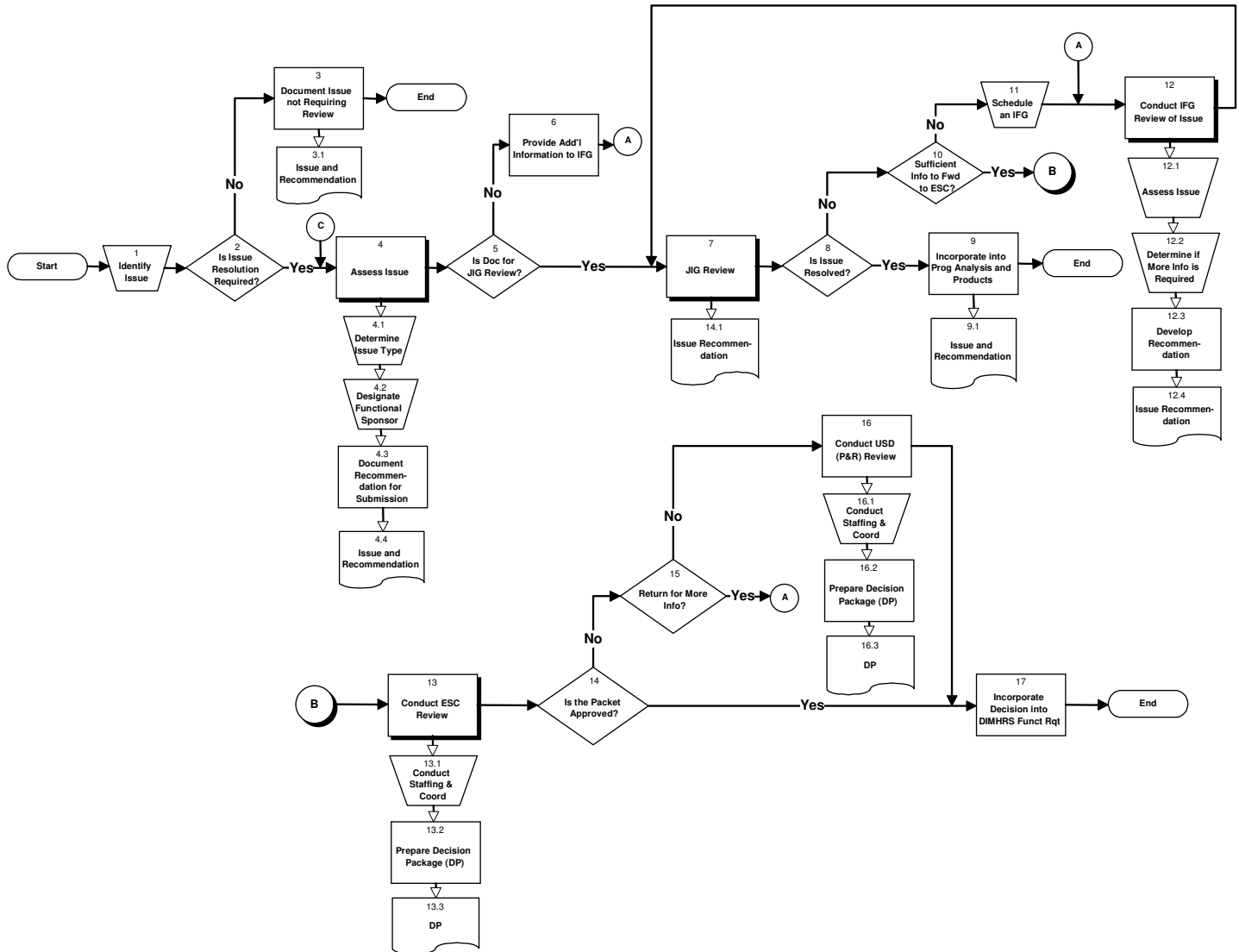
Figure 2-3. DIMHRS Issue Identification and Resolution Process

SECTION 3

3.   FINDINGS AND OUTCOMES

This section describes the Initial Analysis Team's findings related to scenario execution, supportability assessment, DIMHRS and internal initial analysis issues, and data assessment.

3.1   Scenario Assessment

The Initial Analysis Team scheduled a review session for each PeopleSoft module. From a metrics perspective, the team was responsible for monitoring the completion of scheduled sessions. This was accomplished by tracking completion of sessions and submitting weekly progress input to the Joint Program Manager and Director, JR&IO, indicating the percentage of completion of the tasks on the project plan. The Initial Analysis Team also maintained the DIMHRS PeopleSoft HRMS Workplan, provided in Appendix N, that identifies the PeopleSoft tables reviewed, and indicates the review status/date and load status/date.

Once the Initial Analysis Team set up the base tables in PeopleSoft and reviewed the delivered functionality they began executing scenarios in accordance with the Scenario Session Structure and Agendas.

The Initial Analysis Team used the following basic approach when analyzing each PeopleSoft module and executing the scenarios:

- A PeopleSoft consultant provided a detailed walk through of specific functionality.

- The Initial Analysis Team discussed the delivered functionality based on current DoD business practices.

- The Initial Analysis Team executed the scenarios by entering in the data and running processes identified in the scenario data entry templates.

- The Initial Analysis Team compared expected and actual results and worked to resolve or explain differences.

- The Initial Analysis Team documented decisions and issues that arose during the detailed walk through and scenario execution.

Detailed supporting documentation for each scenario is included in Appendix O. There are four documents provided for each scenario action (e.g., 1A, 1B, 7X):

- PeopleSoft Business Process Model/Map – a graphical depiction of the PeopleSoft components used to execute the scenario.

- Scenario Data Entry Template – a list of the PeopleSoft fields, by component, and the specific data required to execute the scenario.

- Expected Results – specific benefit and pay results based on current DoD policy, processing and calculation rules.

- Screen Captures – screen shots and notes captured during scenario execution.

The following sections provide summary level information for each of the scenarios as well as summary information related to Human Resources, Benefits, and Payroll processes. There is a section for each individual scenario, with the exception of scenarios 1 and 7. These two scenarios are covered in one section since scenario 7 demonstrates the reenlistment of the Member originally accessed in scenario 1. Many of the problems identified may be resolved through additional analysis.

3.1.1 Scenarios 1 and 7

3.1.1.1 *Synopsis*

Scenario 1 demonstrates a non-prior Service enlisted accession into the Active component. As part of the accession process, the Service Member executes an enlistment contract for a period of four years. The scenario demonstrates using contract template and contract clauses that specify the terms of the enlistment contract, including term of active Service and military Service obligation. The Member's demographic information is collected, the Member and eligible dependents/beneficiaries are enrolled in the active benefit program plans, and emergency contact information is recorded. The benefit plans include leave, insurance, and death gratuity. The Member elected 100% net pay by check and legal residence state tax is elected. The Payroll goals for this scenario were to demonstrate the ability to compute pay, calculate deductions, taxes, and net amounts.

Scenario 7 continues personnel and pay transactions for the Service Member originally accessed in scenario 1. In this scenario the Member re-enlists with a corresponding reenlistment bonus. Member's job information is automatically populated from Position data. Additional educational accomplishments were collected. The Member is selected to Warrant Officer and assigned to Warrant Officer School. The scenario demonstrates a promotion and military class change. In the course of the scenario, the Member adopts a child, adds a dependent/beneficiary to existing benefits coverage (e.g., dental coverage and insurance). The Member receives a Permanent Change of Station (PCS) assignment as a Warrant Officer and receives advanced pay, with a 24-month term of repayment. At the conclusion of the scenario, the Member requests a transfer to another Service, and is transferred with equivalent grade and time in service.

3.1.1.2   Expected and Actual Results

Scenario 1

Expected Results	Acceptable Actual Results		Remarks
	Yes	**No**	
Accession			
Human Resources/Benefits:			
• Access Member through PeopleSoft Hire effective 31 January 2000.	✔		• Accessed Member through PeopleSoft Hire action.
• Enroll Member and eligible dependent/beneficiary in Active benefit program plans. - Servicemen's Group Life Insurance coverage election is zero (waived). - Death Gratuity with mother as beneficiary.	✔		• Maintained and stored family Member dependent/beneficiary information. • Enrolled Member and eligible dependent/beneficiaries in Active benefit program, reflecting enrollment in leave, SGLI (waived), and Death Gratuity plans.
• Execute Enlistment Contract.	✔		• Enlistment Contract recorded.
Payroll:			
• Basic Allowance for Subsistence ($10.00 per day).	✔		• BAS ($10.00 per day).
• No Basic Pay is accrued on the first pay run, 31 January, since the Active duty Member was accessed on 31st day of the month and is not entitled.	✔		• No BP accrued on the first pay run, 31 January, since the Active duty Member was accessed on 31st day of the month and is not entitled. - PeopleSoft initially computed pay for 31 January. To correct the problem after the pay sheet was created, the Team manually unchecked "OK to Pay" to ensure that BP for the 31st of

Expected Results	Acceptable Actual Results		Remarks
	Yes	**No**	
			January was not paid. The pay sheet reflected $31.81 for BP that was unchecked to Pay. The actual daily rate for an E1 under 4 months should have been $32.16 a difference of $.35.
• No deduction for Servicemen's Group Life Insurance coverage since coverage was not elected.	✓		• No deduction taken for SGLI.
• Armed Forces Retirement Home (AFRH) $.50 monthly deduction.	✓		• AFRH $.50 monthly deduction taken.
• Zero tax contribution.	✓		• Zero tax contribution.
• Leave Accrual Program (.5 days) – 31 January.		✓	• Accrual should have been .5 day for the 1 day on active duty during January. Leave may require an interface to track accruals, saved leave, combat leave, leave sold. • Accrued 2.5 days.
Reassignment and Promotion			
Human Resources:			
• Reassignment action effective 10 February 2000.	✓		• Member is reassigned a new position.
• Promotion action effective 10 February 2000.	✓		• Member is promoted to E5.
Payroll (Compensation for 1 – 15 February):			

Expected Results	Acceptable Actual Results		Remarks
	Yes	No	
• Basic Allowance for Subsistence (BAS) - $150.00.	✔		• Manual intervention was required to ensure the BAS was paid correctly.
• Basic Pay compensation - 1-9 February (E1 Step 1) – $289.44. - 10-15 February (E5 Step 1) – $276.38.		✔	• PeopleSoft computed BP on a 364-day vice 360-day year. PeopleSoft attempted to correct the frequency rate but was unsuccessful in matching the expected results. PeopleSoft has made a commitment to resolve this problem. • BP computed without manual intervention. • 1-9 February (E1 Step 1) – $286.26. • 10-15 February (E5 Step 1) – $273.32.
• Armed Forces Retirement Home $.50 monthly deduction.	✔		• AFRH $.50 monthly deduction taken.
• Social Security withholding - $35.08.	✔		• Acceptable minor difference in actual results.
• Medicare withholding - $8.20.	✔		• Acceptable minor difference in actual results.
• Federal Income Tax (S – 01) - $50.18.	✔		• Acceptable minor difference in actual results.
• State Income Tax claiming (S-01 Colorado) – $19.39.	✔		• Acceptable minor difference in actual results.

Scenario 7

Expected Results	Acceptable Actual Results		Remarks
	Yes	No	
Reenlistment, Enlistment Contract, and Selective Reenlistment Bonus			
Human Resources:			
• Reenlistment action effective 17 February. Execution of second Enlistment Contract.	✔		• Re-enlisted Member effective 17 February. Executed second Enlistment Contract.
• Education information collected.	✔		• Updated Educational Data.
• Payroll (Compensation for 16-29 February [Leap Year] with no status change):			
• Basic Pay compensation - $690.90.	✔		• BP compensation - $690.90.
• Basic Allowance for Subsistence - $140.00.	✔		• –BAS - $140.00.
• Selective Reenlistment Bonus (SRB) first installment - $15,000.00.	✔		• This was manually computed and input.
• Accrued Leave Payment of 1.5 Days or 12 hours - $69.09.	✔		• This was manually computed and input.
• Armed Forces Retirement Home $.50 deduction.		✔	• Incorrectly deducted.
• Social Security withholding - $42.84.	✔		• Social Security withholding - $42.84.
• Medicare withholding - $10.02.	✔		• Medicare withholding - $10.02.
• Federal Income Tax - $4288.29 (Includes supplemental rate of 28%).	✔		• Federal Income Tax - $4288.92 (Includes supplemental rate of 28%) is within acceptable tolerance.

Expected Results	Acceptable Actual Results		Remarks
	Yes	No	
• State Income Tax - $723.49 (Includes supplemental rate of 4.63%).	✓		• State Income Tax - $721.00 (Includes supplemental rate of 4.63%) is within acceptable tolerance.
• Leave: carry forward .5 days, accrual = 2.5 days, sold = 1.5 days, balance = 1.5 day.		✓	• Leave: carried forward 2.5 days, accrual = 2.5 days, sold = 1.5 days, balance = 3.5 day.
Life Event – Adoption			
Human Resources/Benefits:			
• Family Status Change: Member adopts child.	✓		• Family Status Change action recorded.
• Member elects dental coverage for one dependent with April effective date for $7.63 per month.	✓		• Dental coverage elected for one dependent.
Promotion and TDY Reassignment			
Human Resources:			
• Member promoted to W1.	✓		• Promotion action recorded.
• Member reassigned in a Temporary Duty (TDY) status.	✓		• Member reassigned in a TDY status using Transfer TDY action reason.
• Payroll (Compensation for 1-15 March):			
• Basic Allowance for Subsistence - $150.00.	✓		• BAS was manually adjusted on the additional pay panel to show the amount due for this pay period.
• Basic Pay compensation 1-9 March (E5 Step 1) – $414.54.	✓		• BP compensation 1-9 March (E5 Step 1) – $414.54.

Expected Results	Acceptable Actual Results		Remarks
	Yes	No	
• Basic Pay compensation 10-15 March (W1 Step 1) - $356.52.	✓		• Basic Pay compensation 10-15 March (W1 Step 1) - $356.52.
• Basic Allowance for Housing Compensation ($600.00 per month) - $120.00.		✓	• BAH was not paid and did not default from the compensation rate code to the pay sheet.
• Armed Forces Retirement Home $.50 monthly deduction.	✓		• AFRH $.50 monthly deduction taken.
• Social Security withholding - $47.81.	✓		• Social Security withholding - $47.81.
• Medicare withholding - $11.18.	✓		• Medicare withholding - $11.18.
• Federal Income Tax - $87.87.		✓	• Federal Income Tax - $81.60. Tax differences based on different year tax table usage.
• State Income Tax - $34.47.		✓	• State Income Tax - $27.00. Tax differences based on different year tax table usage.
Advance Pay			
Payroll (Compensation for 16-31 March):			
• Basic Allowance for Subsistence - $160.00.	✓		• BAS was manually adjusted on the additional pay panel to show the amount due for this pay period.
• Basic Pay compensation - $891.30.	✓		• BP compensation - $891.30.
• Basic Allowance for Housing compensation ($600.00 per month) - $300.00.		✓	• BAH was not paid and did not default from the compensation code to the pay sheet.

Expected Results	Acceptable Actual Results		Remarks
	Yes	No	
• $1,000 Advance Payment effective 20 March.	✓		• $1,000 Advance Payment effective 20 March.
• Servicemen's Group Life Insurance $20.00 monthly.	✓		• SGLI $20.00 monthly.
• Armed Forces Retirement Home $.50 deduction.		✓	• Incorrectly deducted.
• Social Security withholding - $55.26.	✓		• Social Security withholding - $55.26.
• Medicare withholding - $12.92.	✓		• Medicare withholding - $12.92.
• Federal Income Tax - $99.00.	✓		• Federal Income Tax - $ 99.63. Acceptable difference due to different year tax table.
• State Income Tax - $35.61.	✓		• State Income Tax - $33.00. Acceptable difference due to different year tax table.
• Leave: carry forward 1.5 days, accrual = 2.5 days, balance = 4 days.		✓	• Leave: carried forward 3.5 days, accrual = 2.5 days, balance = 6 days
Inter-Service Transfer			
Human Resources:			
• Inter-Service Transfer Action effective 10 April.	✓		• Executed Inter-Service Transfer effective 10 April.
Payroll (Compensation for 1-9 April):			
• Basic Allowance for Subsistence - $90.00.	✓		• BAS – Initially paid $160.00, however, this was manually entered incorrectly. BAS was manually adjusted on the additional pay panel to show the correct amount due

Expected Results	Acceptable Actual Results		Remarks
	Yes	**No**	
			($90.00) for the pay period.
• Basic Pay compensation - $534.78.	✓		• Basic Pay compensation - $534.78.
• Basic Allowance for Housing compensation ($600.00 per month) - $180.00.		✓	• BAH was not paid and did not default from the compensation code to the pay sheet.
• Advance Pay Repayment - $20.83.		✓	• Actual results for the Advanced Pay deduction ($590.64) did not equal the expected results.
• Dental deduction of $7.63.		✓	• No dental deduction was taken.
• Armed Forces Retirement Home $.50 deduction.	✓		• AFRH $.50 deduction taken.
• Social Security withholding - $33.15.	✓		• Social Security withholding - $33.15.
• Medicare withholding - $7.75.	✓		• Medicare withholding - $7.75.
• Federal Income Tax - $10.82.		✓	• Federal Income Tax - $46.15.
• State Income Tax - $8.83.		✓	• State Income Tax - $16.00.

3.1.1.3 Discussion

From a Human Resource and Benefits standpoint for this scenario both Member demographic information and dependent/beneficiary information, including emergency contact data, was successfully captured and updated in the database during the accession process. PeopleSoft supports administration of enlistment contracts and legal residence/state tax election.   Member was promoted, educational information was updated, and Member processed an adoption as a family status change.   Member executed a PCS assignment, and received a Selected Reenlistment Bonus. Automated longevity (step) increase did not occur, and manual input for the longevity increase was required.

From a Payroll standpoint, scenario 1 accessed the Member effective 31 January 2000. As stipulated in applicable Department of Defense Financial Management Regulations (DODFMR) provisions, most particularly the 30-day month rule for military pay, the Member should not have received Base Pay for the 31st. PeopleSoft's 31 January payroll reflected one day's BP paid to the Member for the 31st. During the step progression process, the team noticed that data from the previously posted Family Status Change (FSC) action, effective-dated 10 May 2000, overrode the Step Increase Job Data Record. Because of the overrides, the employee paysheet showed the pre-step increase monthly rate of $3368.70 in effect for the period 10 May 2000 to 15 May 2000, when the post-step increase rate of $3954.90 should have been in effect. For Scenario 7, Member re-enlisted and received a Selected Reenlistment Bonus. The expected result was to cease the SRB effective 9 March, concurrent with an appointment as a Warrant Officer. In the course of the scenario, the team first used a 9 March Additional Pay stop date. The 1-15 March payroll showed SRB and Leave, as paid. The stop date was moved back to 29 February and successfully stopped these payments.

The "supplemental" tax method established at the SRB and Leave Earnings Code level did not default as needed to the employee data level on the related Additional Pay screen. The latter showed "Annualized" as the method. The additional pay screen was manually adjusted from "Annualized" to "Supplemental." PeopleSoft incorrectly deducted amounts for Members who were in the semi-monthly pay group who were not present for one of the pay periods during the month. At the deduction code level, PeopleSoft would not accept a frequency where the deduction could be taken on the second pay period as was required for someone accessed after mid-month. Consequently, the team inserted flat amounts at the pay sheet level; $.50 for the pay period for AFRH and varying SGLI deduction amounts according to coverage desired.

The Member received a $1000 advance in conjunction with his Inter-Service transfer. The Initial Analysis Team set up a deduction code of ADVPAY to take $20.83 per pay period over the repay period of 24 months. The Team also established a $1000 Goal Amount to stop the deduction when the cumulative amount equals the initial advance amount. The PeopleSoft April payroll register showed a $590.64 mid-month deduction before the transfer, and $479.36 after the transfer. In addition to exceeding the monthly deduction amount set up, the actual deductions also exceeded the total advance amount.

3.1.2   Scenario 2

3.1.2.1 *Synopsis*

This scenario demonstrates a non-prior service enlisted accession into the Air National Guard. In order to test longevity (step) increases, however, the Member's Service Date, Grade and Step Entry Dates were adjusted to reflect two years of Service. As part of the accession process, the Member's demographic information is collected and Member and eligible dependents/beneficiaries are enrolled in a Reserve benefit program. The benefit program includes leave, death gratuity, insurance and dental plans. The Member elects direct deposit of pay to a checking account, and legal residence state tax election is made. The second part of the scenario demonstrates the PeopleSoft Manage Competencies module, identifying the Member's

primary occupational and specialty skills through the use of a Job Code and competencies. The scenario defined requirements for an occupation (Job Code) using role competency. The scenario effects a reassignment from a recruit position after verifying Member eligibility through the use of a role to person match inquiry that compares the Member's skills to the occupational (Job Code) skill requirements. The Member is promoted in conjunction with the assignment process. Finally, the scenario demonstrates Member's drill participation, longevity (step) increase, and assignment to a period of active duty for training with corresponding payment for drill and active duty time.

3.1.2.2 Expected and Actual Results

Expected Results	Acceptable Actual Results		Remarks
	Yes	No	
Accession			
Human Resources/Benefits:			
• Access Member through PeopleSoft Hire.	✔		• Accessed Member through PeopleSoft Hire action. • Member's personal information was captured in database.
• Maintain and store family member dependent/beneficiary information.	✔		• Member's dependent/beneficiary data was updated in the database.

• Enroll Member and eligible dependents/beneficiaries in Reserve Benefit Program plans.
 	
  - Servicemen's Group Life Insurance coverage election is zero (waived).
 	
  - Dental Plan.
 	
  - Death Gratuity.
 	
  - Leave Plan.
	✔		• Member and eligible dependents/beneficiaries were assigned to the Reserve Benefit Program and enrolled in SGLI, Dental, Death Gratuity, and Leave plans.

Expected Results	Acceptable Actual Results		Remarks
	Yes	No	
• Define requirements for an occupation (Job Code) using role competency and accomplishment pages.	✔		• Job code competencies and accomplishments captured.
Payroll:			
• Pay, allowances, and leave should not accrue during the first pay run, because Member did not perform active duty during the pay period 8-14 January.	✔		• Pay, allowances, and leave did not accrue for pay period 8-14 January.
• Deduct SGLI ($19.20) from this pay period for the month of January. Since pay and allowances were not accrued in this pay period; SGLI deduction will go into arrears to collect from the next pay period that pay and allowances accrue.	✔		• SGLI deduction was collected for this pay period and went into arrears.
• Dental will not be deducted from January, since Dental deductions begin on the first of the month.	✔		• Dental deduction was not collected for this pay period.
• Tax election: Married and 2.	✔		• Tax election reflected married and 2.
• Direct deposit to Transit Routing Number #378029947, checking account #101531-5.	✔		• Effected direct deposit to Transit Routing Number #378029947, checking account #101531-5.
Assignment			
Human Resources/Benefits:			
• Role to person match is performed to determine Member eligibility for new job classification.	✔		• Member's competencies and accomplishments were compared using Manage Competencies Role

Expected Results	Acceptable Actual Results		Remarks
	Yes	No	
			to Person Match.
• Member is assigned to position with new job classification, updating location, grade, skills and accomplishments in the database.	✔		• Member was assigned to a new position. Members' new location information was populated from position data. Member's grade was also increased.
Payroll:			
• Pay, allowances, and leave should not accrue. Member did not perform active duty during the pay period 15-21 January.	✔		• Pay, allowances, and leave did not accrue for pay period 15-21 January
• Since pay and allowances were not accrued in this pay period, SGLI ($19.20) deduction for January will continue in arrears, and collect from the next pay period that pay and allowances accrue.	✔		• SGLI deduction continued in arrears.
• Dental will not be deducted from January; deduction will take effect in February.	✔		• Dental deduction was not collected for this pay period.
• Tax election; : Married and 2.	✔		• Tax election reflected married and 2 are stored.
• Direct deposit to Transit Routing Number #378029947, checking account #101531-5.	✔		• Effected direct deposit to Transit Routing Number #378029947, checking account #101531-5.
Drill			
Human Resources:			
• Positive time entry is entered for two drill periods.	✔		• Drills credited to Member.

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Expected Results	Acceptable Actual Results		Remarks
	Yes	No	
• Longevity (step) increase for time in service occurs.		✓	• Automated longevity (step) increase process did not update step. This process was successfully executed in a later scenario.
Payroll:			
• Member entitled to Basic Pay ($87.14) for two drill periods performed on 25 January for pay grade E3 over 2 years of service in weekly pay period 22 – 28 January.	✓		• ($87.14) for two drill periods in pay grade E3 with over 2 years of service was paid weekly pay period 22-28 January. The Step Entry Date was manually updated to over 2 years.
• SGLI ($19.20) deduction for January will be collected.	✓		• SGLI ($19.20) deduction for January collected.
• Dental will not be deducted from January; deduction will take effect in February.	✓		• Dental not collected from January pay.
• Leave will not accrue.	✓		• Leave was not accrued.
• FICA should be calculated on Basic Pay (Social Security $5.40 and Medicare $1.26) before SGLI deduction.	✓		• FICA was calculated on BP (Social Security $5.40 and Medicare $1.26) before SGLI deduction.
• Tax election: Married and 2.	✓		• Tax election Married and 2 is stored.
• Federal Income Tax Withheld ($0) computed on Basic Pay before SGLI deduction.	✓		• FITW ($0) computed on BP before SGLI deduction.
• Texas state taxes should not be withheld.	✓		• Texas state taxes were not withheld for legal residence state of Texas.
• Gross pay $87.14.	✓		• Gross pay $87.14.

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Expected Results	Acceptable Actual Results		Remarks
	Yes	No	
• Net pay $61.28.		✓	• Net pay $80.48.
• Direct deposit to Transit Routing Number #378029947, checking account #101531-5.	✓		• Effected direct deposit to Transit Routing Number #378029947, checking account #101531-5.
Period of Active Duty			
Payroll:			
• Basic Pay ($304.99) for 7 days of Active duty (28 January – 3 February) for pay grade E3 over 2 years of service calculated in weekly pay period 29 January – 4 February.	✓	✓	• For the 1st and 2nd pay run the daily BP rate was incorrectly defaulting in. The daily rate was computed outside of PeopleSoft and entered into the hourly rate field. "Override Hourly Rate" was not checked and the incorrect hourly rate defaulted because PeopleSoft compensation calculation was incorrect. • The 3rd and 4th pay runs were incorrect because BAH was paid for an incorrect number of days and daily rate. BAH was entered as a multiple component of pay, and entered this way included it in taxable income even though the earnings code was set up as non-taxable. • The 5th pay run resulted in 7 days of BP ($304.99) for pay grade E3 with over 2 years of service was paid for weekly pay period 29 January – 4 February.
• Basic Allowance for Housing ($53.69) will be paid for 7 days.	✓		• BAH ($53.69) was paid for 7 days.

Expected Results	Acceptable Actual Results		Remarks
	Yes	**No**	
• SGLI ($19.20) deduction for February will be collected.	✓		• SGLI ($19.20) deduction for February collected.
• Dental ($47.69) deduction for February will be collected.	✓		• Dental ($47.69) deduction for February was collected.
• FICA should be calculated on Basic Pay (Social Security $18.91 and Medicare $4.42) before SGLI and Dental deduction.	✓		• FICA was calculated on BP (Social Security $18.91 and Medicare $4.42) before SGLI and Dental deduction.
• Tax election: Married and 2.	✓		• Tax election Married and 2 is stored.
• Federal Income Tax Withheld ($10.79) computed on Basic Pay before SGLI and Dental deduction.		✓	• FITW ($53.56) computed on BP before SGLI and Dental deduction.
• Texas legal residence, state taxes should not be withheld.	✓		• State taxes not withheld – legal residence state of Texas.
• Gross pay $358.68, Net pay $257.67.	✓		• Gross pay $358.68, Net pay $257.67.
• Pay direct deposited to Transit Routing Number #378029947, checking account #101531-5.	✓		• Direct deposit effected.

3.1.2.3 Discussion

From a Human Resource and Benefits standpoint, Member demographic information entered in the accession process appears to meet Service information requirements (e.g., name, gender, birth date, ethnicity, and addresses). Targeted analysis will verify that delivered ethnic groups are valid for Census Bureau and DoD requirements. Both Member demographic information and dependent/beneficiary information were successfully captured and updated in the database. Position data automatically populated business unit, department, and location fields, but also overwrote Member pay grade based on position/billet grade. The position grade overwrite issue has been addressed in the DIMHRS Issue Log. PeopleSoft supports legal residence/state tax

election as an Employee Member Self Service (EMSS) capability. Automated longevity (step) increase did not occur, and manual input for the longevity increase was required.

From a Payroll standpoint, this scenario demonstrated that for pay and allowances not to accrue for a Reserve Member on a full-time basis, "OK to Pay" for Reserve pay group must be turned off. BP was computed outside of the application, with manual input required on the paysheet for each Member to be paid properly. SGLI deduction in arrears was taken correctly, BAH was entered as a multiple component of pay, and allowed BAH to be included in taxable wages, although the rate code was set up as non-taxable. BAH, like BP, was computed outside of PeopleSoft application, and manually entered as additional pay in order to effect payment. A method for positive time entry is required to capture drills, short tours, and additional pays/allowances.

3.1.3 Scenario 3

3.1.3.1 *Synopsis*

This scenario demonstrates a non-prior Service officer accession into the Regular Component. As a part of the accession process, the Member's demographic information is collected and Member and eligible beneficiaries are enrolled in the Active Benefit Program plans. The benefits plans include leave, thrift savings, and life insurance. The Member elects a paycheck disbursement option and legal residence state tax election of Puerto Rico. The Member is single and has one dependent. The second part of the scenario demonstrates the reassignment of the Member to a new location, which required a new entry in the Job Information portion of the officer's personnel data file, using the PeopleSoft Action of Transfer and the Action Reason of Permanent Change of Station. This action also resulted in an update to the officer's position data. In addition, the officer was awarded an Army Commendation Medal for meritorious Service using the PeopleSoft Honors and Awards capability. Finally, the scenario demonstrates promotion of the officer from First Lieutenant (O-2) to Captain (O-3) which required a new entry in the Job Information portion of the officer's personnel data file, using the PeopleSoft Action code of Promotion and the Action Reason code of Normal Career Progression.

3.1.3.2 *Expected and Actual Results*

Expected Results	Acceptable Actual Results		Remarks
	Yes	No	
Accession			
Human Resources/Benefits:			
• Access Member through PeopleSoft Hire.	✓		• Accessed Member through PeopleSoft Hire action. • Member's personal information was captured in database. • Member's department data and location code were populated from position data.
• Maintain and store family member beneficiary information.	✓		• Member's beneficiary data was updated in the database.
• Enroll Member and eligible beneficiaries in Active Benefit Program, reflecting enrollment in thrift, leave and life insurance plans.	✓		• Member and eligible beneficiaries were assigned to the Active Benefit Program and enrolled in Thrift, Leave, and SGLI Plans.
Payroll:			
• Member entitled to retroactive Basic Pay ($2301.00) for period 1-29 February 2000 for pay grade O2 less than 2 years of service.		✓	• Retroactive BP ($0.00) for period 1-29 February 2000.
• Member entitled to Basic Pay ($2301.00) for period 1-31 March 2000 for pay grade O2 less than 2 years of service.	✓		• BP received ($2301.00) for period 1-31 March 2000 for pay grade O2 less than 2 years of service paid at End of Month (EOM) March 2000.
• SGLI ($20.00) retroactive deduction for February 2000 will be collected.		✓	• SGLI ($0.00) retroactive deduction for February 2000.

Expected Results	Acceptable Actual Results		Remarks
	Yes	No	
• SGLI ($20.00) deduction for March 2000 will be collected.	✔		• SGLI ($20.00) deduction for March 2000 was collected.
• Thrift Savings Plan (TSP) ($138.06) retroactive deduction for February 2000.		✔	• Compute 6% of BP for TSP (0.00) retroactive deduction for February 2000.
• TSP ($138.06) deduction for March 2000.	✔		• Compute 6% of BP for TSP ($138.06) deduction for March 2000.
• 5.0 days Leave accrual for February – March 2000.		✔	• No Leave accrued for February – The leave balance register was not generated for March 2000.
• FICA should be calculated on Basic Pay (Social Security $285.32 and Medicare $66.73) before SGLI and TSP deduction.		✔	• FICA was calculated on BP (Social Security $142.66 and Medicare $33.73) before SGLI and TSP deduction.
• Tax election: Single and 1.	✔		• Tax election: Single and 1.
• Federal Income Tax Withheld ($839.47) computed on Basic Pay not to include TSP and before SGLI deduction.		✔	• FITW ($256.32) computed on BP not to include TSP and before SGLI deduction.
• State Income Tax Withheld (SITW) for Puerto Rico-state taxes should not be withheld.		✔	• Puerto Rico-state taxes ($6.90). This problem was corrected in a later run.
Assignment/Award			
Human Resources:			
• Member is assigned in a position with new job classification, updating location, grade, skills, and accomplishments in the database.	✔		• Member was assigned to a new position.

Expected Results	Acceptable Actual Results		Remarks
	Yes	No	
• Member's new location information was populated from position data.	✔		• Member's new location information was populated from position data.
• Member is awarded an Achievement award.	✔		• Member was granted an Achievement award.
Promotion			
Human Resources:			
• Promote Member through PeopleSoft Action of "Promotion" and Reason of "Normal Career Progression."	✔		• Member was promoted from O2 to O3. • Member promotion information was captured in the database. • Member Salary plan information was updated in the database.
Payroll:			
• Member entitled to Basic Pay ($2638.20) for period 1-30 April 2000 for pay grade O2 less than 2 years of service. (promotion from O2-O3 effective 1 April 2000).	✔		• BP ($2638.20) for period 1-30 April 2000 for pay grade O2 less than 2 years of service paid at EOM April 2000. (promotion from O2-O3 effective 1 April 2000).
• SGLI ($20.00) deduction for April 2000 will be collected.	✔		• SGLI ($20.00) deduction collected.
• TSP ($158.29) deduction for April 2000.	✔		• Computed 6% of BP for TSP ($158.29) deduction for April 2000.
• 2.5 days Leave accrual for April 2000.	✔		• 2.5 days Leave accrual for April 2000.

Expected Results	Acceptable Actual Results		Remarks
	Yes	No	
• FICA should be calculated on Basic Pay (Social Security $163.57 and Medicare $38.26) before SGLI and TSP deduction	✓		• FICA should be calculated on BP (Social Security $163.57 and Medicare $38.26) before SGLI and TSP deduction.
• Tax election: Single and 1.	✓		• Tax election: Single and 1.
• Federal Income Tax Withheld ($302.59) computed on Basic Pay not to include TSP and before SGLI deduction.		✓	• FITW ($256.32) computed on BP not to include TSP and before SGLI deduction.
• State Income Tax Withheld for Puerto Rico - state taxes should not be withheld.	✓		• SITW ($0.00) for Puerto Rico.

3.1.3.3 Discussion

From a Human Resource and Benefits perspective, the Member demographic information entered in the accession process appears to meet Service information requirements (e.g., name, gender, birth date, ethnicity, and addresses), with delivered ethnic groups valid for Census Bureau and DoD requirements. Both Member demographic information and beneficiary information was successfully captured and updated in the database. Position data automatically populated business unit, department, and location fields, but also overwrote Member pay grade based on position/billet grade. The position grade override issue has been addressed in the DIMHRS Issue Log. PeopleSoft supports legal residence/state tax election as an EMSS capability.

During scenario execution a problem was encountered when using the PeopleSoft "delivered" Action of "Assignment."   This problem appeared to occur as a result of delivered logic, which requires this Action to be used only with the multiple job concept in PeopleSoft. In order to complete testing, the PeopleSoft Consultant recommended that the "delivered" Action of "Transfer" be used. Favorable results were achieved using the Action of "Transfer." This item was identified as one requiring further analysis during targeted analysis.

During the promotion portion of the scenario we were able to successfully update relevant information in the database; however, promotion results are not automatically updated in the Payroll account. PeopleSoft consultants have recommended that this process be automated

through the use of PeopleSoft Workflow. An adjustment also had to be made on the Step Date. PeopleSoft defaults the effective date of the promotion into the Step Entry Date field. This issue has been documented for further review under targeted analysis.

From a payroll standpoint, PeopleSoft did not calculate BP, SGLI, TSP, and tax deductions (1-29 February 2000) since no prior payment had been made in February 2000. Manual retroactive adjustment process was not tested in this scenario for February 2000 deduction of taxes and general deductions. PeopleSoft computations for BP were derived by ($2301.00 (BP) / 31 days x 15 days = $1113.39 and $2301.00 (BP) / 31 days x 16 days = $1187.61, which totals $2301.00). PeopleSoft FITW computation was based on tax year 2000; this was not identified to Service teams until 8 August 2001 which was well after the initial discovery of differences in the expected results and PeopleSoft's computations. The tax computation for the Army service team utilized the Defense Military Pay Office (DMO) software using tax year 2001. PeopleSoft deducted Puerto Rico state tax even though at the employee state tax record EXEMPT FROM STATE TAX DEDUCTION was checked. PeopleSoft research verified that the EXEMPT FROM STATE DISABILITY INSURANCE (SDI) was not checked (military is exempt form SDI). This block was checked and in future scenario's Puerto Rico state tax was not deducted.

3.1.4   Scenario 4

3.1.4.1   *Synopsis*

This scenario demonstrates a non-prior Service Reserve officer accessed into the Active component. As part of the accession process, Member and Member's dependent/beneficiary information is collected and the Member and eligible dependent/beneficiary are enrolled in Active Benefit Program plans. The benefit plans include death gratuity, dental, thrift, and insurance plans. The Member elects direct deposit of pay to a checking account, and residence state tax election is made. Member's Service date (Pay Entry Base Date [PEBD]) is adjusted for additional time in service. While on active duty, the service Member is involved in an automobile accident, and the incident details are reported through the PeopleSoft Monitor Health and Safety Incident Details functionality. The Member is transferred to the Temporary Disability Retirement List (TDRL) using the action reason Paid Leave of Absence – Pending Physical Evaluation Board (PEB) and subsequently terminated (medically discharged) as a result of a Physical Evaluation Board.

3.1.4.2 Expected and Actual Results

Expected Results	Acceptable Actual Results		Remarks
	Yes	No	
Accession			
Human Resources/Benefits:			
• Access Member into Active Component through PeopleSoft Hire.	✔		• Accessed Member into the Active Component through PeopleSoft Hire action.
• Capture Member and Member dependent/beneficiary information (e.g., name, address, phone number, and marital status).	✔		• Member and Member eligible dependent/beneficiary information collected.
• Enroll Member and Member's eligible dependents/beneficiaries into the Active Benefit Program.	✔		• Member and Member eligible dependents/beneficiaries enrolled in Active benefits program.
• Adjust Service Date (PEBD).		✔	• Adjustment to Service Date (PEBD) did not calculate. Manual adjustment required.
Payroll:			
• Compute base pay for the 16th through the -30th of January 2000.		✔	• Pay results did not calculate as expected due to incorrect pay pro-ration for the month.
• Family Dental deduction should not be taken.	✔		• As expected, Family Dental was not deducted due to the setup of this Benefit plan to deduct only from the first pay period of a month.
• Deduct SGLI.	✔		• SGLI was deducted as expected.
• Deduct Thrift.		✔	• Thrift was not computed correctly because BP was not calculated correctly.

Expected Results	Acceptable Actual Results		Remarks
	Yes	No	
• Calculate Federal, State, and FICA tax withholding.		✓	• Federal, State, and FICA tax withholding computed incorrectly not only due to the difference in BP but also due to calendar year 2001 being used by the Initial Analysis Team for Expected Results while PeopleSoft used calendar year 2000 (because the action dates are in calendar year 2000).
Accident Reporting and Paid Leave of Absence (PEB)			
Human Resources:			
• Record and store incident (Accident and Casualty) report data.	✓		• Incident data is collected in PeopleSoft Heath and Safety Incident Details and Injury Details pages.
• Record Paid Leave of Absence.	✓		• Member placed on Paid Leave of Absence for PEB.
Payroll:			
• Compute base pay for the 1st through the 15th of February 2000.		✓	• Pay results did not calculate as expected due to incorrect pay pro-ration for the month.
• Deduct Family Dental.		✓	• Family Dental was not deducted as expected. It was unclear why this occurred.
• Deduct SGLI.		✓	• SGLI was not deducted as expected. It was unclear why this occurred.

Expected Results	Acceptable Actual Results		Remarks
	Yes	No	
• Deduct Thrift.		✓	• Thrift was not deducted as expected. It was unclear why this occurred.
• Calculate Federal, State, and FICA tax withholding.		✓	• Federal, State, and FICA tax withholding computed incorrectly not only due to the difference in BP but also due to calendar year 2001 being used by the Initial Analysis Team for Expected Results while PeopleSoft used calendar year 2000.
Termination/Release from Active Duty			
Human Resources:			
• Terminate (discharge) Member from the Service.	✓		• Member terminated.

3.1.4.3 Discussion

From a Human Resources and Benefits standpoint, a number of delivered panels were used for accessing an individual and recording the required personnel information. The delivered panels provided the capability to record Member dependent and beneficiary information as required by the scenario. The Member was enrolled in the SGLI plan and the Family Dental plan of the Active Benefits Program. Several panels were provided for recording and storing the details of accidents/casualties, with potential applicability to incident and casualty reporting as well as Line of Duty investigations. The team recommends additional analysis of incident/casualty reporting functionality during targeted analysis. In addition to recording the Member's casualty information, there was also a personnel action placing the Member on a Paid Leave of Absence – Pending Physical Evaluation Board (PEB). This was a custom Action Reason Code created by the Initial Analysis Team. Further analysis is necessary to accommodate all casualty statuses, and other duty status types addressed in the DoD standard data element for Duty Status in the PeopleSoft Action Reason Table.

From a payroll standpoint, there was a status change to place the Member on a Paid Leave of Absence, which is comparable to the military's temporary disability retired list (TDRL) status. The Member's pay was analyzed for three pay runs. The pay portion of this scenario only included BP earnings; there were no additional pay entitlements. The gross pay was incorrect for the three pay runs. Deductions in this scenario included benefits, thrift, and taxes. Benefit deductions were processed only on the second pay run of each semi-monthly period. Although the actual thrift deduction amount did not equal the expected results, PeopleSoft did compute the correct percentage of gross pay when calculating the thrift deduction. Taxes were incorrect due to the differences in the gross pay amounts.

The Service Member was discharged effective 15 February 2000 and entitled to pay and allowances through the date of discharge. PeopleSoft computed pay only through 14 February 2000. This issue may require some business process changes or at the very least, the Services will need to be trained in the PeopleSoft methodology for effective dated transactions. PeopleSoft only recognizes start dates for events, not end dates. Therefore, the start date for the status of "terminated" or "discharged" in PeopleSoft is one day greater than the current military references to a termination date. Current practice is to collect the full month's premium for SGLI regardless if the Member is on active duty for one day or for the entire month. PeopleSoft logic for benefit deductions would have collected only one-half of the monthly premium for a Member accessed in the latter half of the month. A decision was made to set up the SGLI benefit plan within the Active Duty Benefit Program and the related General Deduction table to deduct the full month's premium on the second semi-monthly pay run to ensure that a full month's premium is always collected. Therefore, a change in business practice will be required if this method of deduction is used in DIMHRS.

3.1.5   Scenario 5

3.1.5.1   Synopsis

This scenario demonstrates a non-prior service enlisted accession into the Reserve Component. As part of the accession process, Member demographic information is collected and the Member and eligible dependents/beneficiaries are enrolled in Reserve benefit program plans. The benefit plans include leave, death gratuity, insurance, and dental plans. The Member elects direct deposit of pay to a checking account, and legal residence state tax election was made. The second part of the scenario demonstrates PeopleSoft Work Location Tab ability to transfer the accessed Member from the reserve to active duty for a specified period of time, but retain component status. In addition, the transfer required a change in the benefit program and pay group. Finally, the scenario also demonstrates the capability of PeopleSoft to document and create an automated record of disciplinary steps involved in a non-judicial adverse action.

3.1.5.2   *Expected and Actual Results*

Expected Results	Acceptable Actual Results		Remarks
	Yes	No	
Accession and Transfer			
Human Resources/Benefits:			
• Access Member through PeopleSoft Hire.	✔		• Member was accessed through PeopleSoft Hire action.
• Maintain and store personal data elements.	✔		• Member's personal information was captured in database.
• Maintain and store family member dependent/beneficiary and personal data.	✔		• Member's dependent/beneficiary data was updated in the database.
• Enroll Member and eligible dependents/beneficiaries in appropriate Reserve and Active Benefit Programs, reflecting enrollment in leave, SGLI, Dental, and Death Gratuity Plans.	✔		• Member and eligible dependents/beneficiaries were enrolled in the SGLI and Dental plans under the Reserve Benefit Program and enrolled in the Active Leave Plan under the Active Benefit Program.
• Document disciplinary steps in a non-judicial adverse action (Article 15).	✔		• Member's disciplinary steps were documented.
• Execute final disciplinary action of Demotion and Forfeiture of $250.00.		✔	• Unable to enter the two resolutions of Demotion and Non-Judicial Forfeiture under the Non-Judicial Punishment (NJP) Action/Action Reason Code. PeopleSoft allows only one final resolution.

Expected Results	Acceptable Actual Results		Remarks
	Yes	No	
• Member is transferred to active duty while retaining component status of Reserve.	✔		• Member was brought on active duty for 40 days. • Member's department data and location was populated from position data.
• Member is transferred from the Reserve Benefit Program to the Active Benefit Program.	✔		• Member's Benefit Program was transferred.
Payroll:			
• Pay allowances and leave should not accrue during the first pay run, because Member did not perform active duty during the pay period 16 January 2000.	✔		• Pay and allowances did not accrue for 16 January 2000.
• Member entitled to Basic Pay ($566.86) for period 17-31 January 2000 for pay grade E3 less than 2 years of service.		✔	• Member received entitlement to BP ($600.68) for period 17-31 January 2000 for pay grade E3 less than 2 years of service paid at EOM January 2000.
• SGLI ($20.00) deduction for January 2000 will be collected.	✔		• SGLI ($20.00) deduction for January 2000 was collected.
• Dental ($7.63) deduction for January 2000.	✔		• Dental ($7.63) deduction for January 2000.
• 1.5 days Leave accrual for January 2000.		✔	• 2.5 days Leave accrual for January 2000.
• FICA should be calculated on Basic Pay (Social Security $35.14 and Medicare $8.22) before SGLI deduction.	✔		• FICA was calculated on BP (Social Security $37.24 and Medicare $8.71) before SGLI deduction.

Expected Results	Acceptable Actual Results		Remarks
	Yes	No	
• Tax election: Single and 1.	✓		• Tax election: Single and 1.
• Federal Income Tax Withheld ($15.63) computed on Basic Pay and before SGLI deduction.		✓	• FITW ($21.98) was computed on BP and before SGLI deduction.
• State Income Tax Withheld for Texas, no state taxes withheld.	✓		• SITW for Texas, no state taxes withheld
Forfeiture/Demotion			
Human Resources:			
• Member's job data record updated to reflect the debt collection	✓		• Member's forfeiture posted on the job data record.
• Member demoted from E3 to E2.	✓		• Demotion action was recorded.
Payroll:			
• Member entitled to Basic Pay ($647.84) for period 1-16 February 2000 for pay grade E3 and Basic Pay ($350.73) for period 17-25 February 2000 for pay grade E2 (semi-monthly demoted effective 17 February 2000) less than 2 years of service.		✓	• Member received entitlement to BP ($670.18) for period 1-16 February 2000 for pay grade E3 and BP ($362.83) for period 17-25 February 2000 for pay grade E2 (semi-monthly demoted effective 17 February 2000) less than 2 years of service.
• SGLI ($20.00) deduction for February 2000 will be collected.	✓		• SGLI ($20.00) deduction for February 2000 was collected.
• Dental ($7.63) deduction for February 2000.	✓		• Dental ($7.63) deduction for February 2000.
• Non-Judicial Punishment($125.00) deduction 17-25 February 2000.	✓		• NJP ($125.00) deduction 17-25 February 2000.
• 2.0 days Leave accrual for February		✓	• No Leave accrual for February

Expected Results	Acceptable Actual Results		Remarks
	Yes	No	
2000.			2000 no leave balance register.
• FICA should be calculated on Basic Pay (Social Security $54.16 and Medicare $12.67) before SGLI deduction.	✔		• FICA was calculated on BP (Social Security $56.30 and Medicare $12.67) not to include NJP and before SGLI deduction.
• Tax election: Single and 1.	✔		• Tax election: Single and 1.
• Federal Income Tax Withheld ($67.41) computed on Basic Pay and before SGLI deduction.	✔		• FITW ($68.08) was computed on BP and not to include NJP and before SGLI deduction.
• State Income Tax Withheld for Texas, no state taxes withheld.	✔		• SITW for Texas, no state taxes withheld.

3.1.5.3   Discussion

From a Human Resource and Benefits standpoint, Member demographic information entered in the accession process appears to meet Service information requirements (e.g., name, gender, birth date, ethnicity, address, and education level), with delivered ethnic groups valid for Census Bureau and DoD requirements.   Both Member demographic information and dependent/beneficiary information was successfully captured and updated in the database. Position data automatically populated business unit, department, and location fields, but also overwrote Member pay grade based on position/billet grade. The position grade overwrites and limited characters for Job Code have been addressed in the DIMHRS Issue Log. PeopleSoft supports legal residence/state tax election as an EMSS capability.

From a payroll standpoint, PeopleSoft computations for BP were derived using the following formula: (PeopleSoft computation for BP periods: $1214.70 (BP) / 29 days x 16 days = $670.18 and $1169.10 (BP) / 29 days x 9 days = 362.83). PeopleSoft FITW computation was based on tax year 2000; this was not identified to service teams until 8 August 2001, which this was well after our initial discovery of differences in the expected results and PeopleSoft's computations. The tax computation for the Army service team utilized the DMO software using tax year 2001.

3.1.6   Scenario 6

3.1.6.1 *Synopsis*

Scenario 6 demonstrates a prior-service accession onto Active duty of an officer previously terminated (medically discharged) by Physical Evaluation Board in Scenario 4. The officer is re-accessed in a higher pay grade with associated longevity increase based on previous time in service. The Member is assessed into a Clinical Staff Nurse position with a Certified Nurse Anesthetist Job Code. As part of the accession process, Member demographic and eligible dependent/beneficiary information is collected and Member and dependent/beneficiaries are enrolled in the Active Benefit Program plans. In this scenario, an additional dependent child is added. The benefit program includes leave, death gratuity, insurance, and dental plans. The Member elects direct deposit of pay to a checking account, and legal residence state tax election is made. The scenario demonstrates PeopleSoft Manage Competencies capability to track license/certifications, schools, and academic majors. At the conclusion of the scenario the Member is voluntarily retired.

The Member's pay and tax information were entered into the database and payroll was processed for several pay periods. Actual results in the form of Payroll reports were analyzed for selected pay periods and compared to expected pay results.

3.1.6.2 *Expected Results and Actual Results*

Expected Results	Acceptable Actual Results		Remarks
	Yes	No	
Rehire and Manage Job Specialties			
Human Resources/Benefits:			
• Rehire (re-access) Member into the Active component.	✓		• Member was re-accessed through PeopleSoft Rehire action.
• Capture and store Member and Member's eligible dependent/beneficiary information.	✓		• Captured and stored Member and Member's eligible dependent/beneficiary information.
• Enroll the Member and Member's eligible dependent/beneficiary into the appropriate Benefit Program.	✓		• Enrolled the Member and Member's eligible dependent/beneficiary into the appropriate Benefit Program.

Expected Results	Acceptable Actual Results		Remarks
	Yes	No	
• Manage job specialties and pay special pays accordingly.	✓		• Correct job specialties and special pays were recorded.
• Automatically calculate and correct Pay Entry Base Date.	✓		• The Member's Service Date was manually adjusted to reflect a break in service. • Note - PeopleSoft provides an automatic step progression feature, but the functionality was not working for this scenario. It was successfully demonstrated later.
Payroll:			
• The Member was accessed on the 29th of February. Compute pay for 2 days.		✓	• Pay was not calculated correctly because PeopleSoft did not recognize the 30-day month for the month of February.
• Compute BAH for 2 days.		✓	• BAH did not appear on the pay register. The reason was unknown.
• Compute BAS for 1 day.		✓	• BAS did not appear on the pay register. The reason was unknown.
• Pay a bonus of $15,000 for Certified Nurse Anesthetist.		✓	• The $15,000 bonus did not pay because a sequence number was required on the Additional Pay page.
• Deduct SGLI.	✓		• SGLI was calculated and deducted as expected.
• Calculate and deduct Federal and FICA tax withholding.		✓	• Federal and FICA tax withholding were not correct due to the differences in gross pay.

Expected Results	Acceptable Actual Results		Remarks
	Yes	No	
• No state tax should be deducted.	✓		• Deducted no state taxes because the Member's State of Legal Residence was Pennsylvania and she was assigned outside the State.
Voluntary Retirement			
Human Resources:			
• Member is retired with an effective date of 1 April 2000.	✓		• Member is retired with an effective date of 1 April 2000.
Payroll:			
• Compute no pay because effective date of retirement was 1 April 2000.	✓		• No pay was computed as expected.

3.1.6.3 Discussion

From a Human Resources standpoint, this scenario demonstrates a rehire (re-accession) action in PeopleSoft. The delivered panels provided the necessary input fields. During the rehire action, Member dependent/beneficiary information did not have to be re-entered into PeopleSoft, but manual entry was required for any updated Member demographic data. It was also not necessary to re-enroll Member and eligible dependents/beneficiaries into the Active Duty Benefit Program plans. This information existed from the terminated record and did not change. For the rehire action, the Member's Service date was manually adjusted to reflect a break in service. PeopleSoft provides an automatic step progression feature, but the functionality was not working at the time this scenario was executed.

From a Payroll standpoint the Member was eligible for Officer Basic Allowance for Subsistence (OBAS). As a Certified Nurse Anesthetist, the Member was also entitled to a $15,000 annual bonus. To pay the Member these additional amounts within the delivered PeopleSoft product, it was necessary to manually input these values into the Additional Pay panel.

As in scenario 4, the Member's gross pay was incorrect. PeopleSoft calculations are based on the actual number of days in the month, while the DoD requirement is to calculate pay based on a 30-day month. The pay run for this scenario was a leap year February, which had 29 days. Due to the errors in gross pay, the taxes could not be compared. The $15,000 additional pay was input without the proper sequence number. This prevented it from appearing on the pay register. Additional pays within the PeopleSoft Payroll application are based on a percent of BP

calculations, whereas military additional pays are based on grades and years of service. Time constraints did not permit for generation of leave accrual reports for this scenario.

3.1.7   Scenario 8

3.1.7.1   Synopsis

This scenario demonstrates a non-prior service enlisted accession into the Air Force Active component. As part of the accession process, the Member's demographic information is collected. Member and eligible dependents/beneficiaries are enrolled in the Active Benefit Program plans. The benefit plans include insurance, leave, thrift savings, and death gratuity. The Member elects direct deposit of pay to a checking account, and legal residence state tax is made. The Member is promoted after completion of basic military training. The second part of the scenario demonstrates the PeopleSoft capability to utilize a checklist to monitor and verify all out-processing requirements for an overseas assignment. Additionally, the scenario demonstrates the PeopleSoft capability to report a period of unauthorized absence and a return to duty status with subsequent affects on pay. Finally, the scenario demonstrates the PeopleSoft capability to report Member's discharge.

3.1.7.2   Expected and Actual Results

Expected Results	Acceptable Actual Results		Remarks
	Yes	No	
Accession			
Human Resources/Benefits:			
• Access Member through PeopleSoft Hire.	✔		• Member was accessed. • Member's personal information was captured in the database.
• Maintain and store family member dependent/beneficiary information.	✔		• Member's dependent/beneficiary data was captured in the database.
• Enroll Member and eligible dependents/beneficiaries in an Active Benefit Program, reflecting enrollment in SGLI, leave, thrift savings, and death gratuity.	✔		• Member and eligible dependents/beneficiaries were assigned to the Active Benefit Program and enrolled in SGLI, leave, thrift savings, and death gratuity plans.

Expected Results	Acceptable Actual Results		Remarks
	Yes	No	
Payroll:			
• Basic Pay ($607.35) E3 with under 2 years of service paid for 15 days 16-29 February to include additional 30th day at EOM February.		✓	• BP ($586.41) E3 with less than 2 years of service paid for 15 days 16-29 February, does not include the additional 30th day at EOM February.
• SGLI ($20.00) deduction for EOM February.	✓		• SGLI ($20.00) deduction for EOM February.
• Dental waived - no deduction taken in February.	✓		• Dental Deduction not taken – waived.
• Compute 4% of Basic Pay for Thrift ($24.29).	✓		• Compute 4% of BP for Thrift ($24.29).
• Accrue 1.5 days of leave.		✓	• Accrued 0 days of leave.
• Tax election: Married and 2.	✓		• Tax election: Married and 2 is reflected.
• FICA should be calculated on Basic Pay (Social Security $37.66 and Medicare $8.81) before SGLI and Thrift deductions.	✓		• FICA calculated on BP (Social Security $36.36 and Medicare $8.50) before SGLI and Thrift deductions.
• Federal Income Tax Withheld ($0) computed on BP not to include Thrift deduction and before SGLI deduction.	✓		• FITW ($0) computed on BP not to include Thrift deduction and before SGLI deduction.
• State taxes ($0) withheld - legal residence Colorado.	✓		• State taxes ($0) withheld - legal residence Colorado.
• Gross pay $607.35, Net pay $516.59.		✓	• Gross pay $586.41, Net pay $498.09.

Expected Results	Acceptable Actual Results		Remarks
	Yes	No	
• Direct deposit to Transit Routing Number #256078446, checking account #101313-6.	✓		• Direct deposit to Transit Routing Number #256078446, checking account #101313-6.
Reassignment			
Human Resources:			
• Certification to proceed on overseas assignment based on completion of reassignment checklist.	✓		• Reassignment checklist maintained in database for historical purposes.
• Reassignment Action to Overseas location to an E5 position.	✓		• Reflected Overseas reassignment action with appropriate position and location information maintained in database. • Note - Position data overrode Member's pay grade on the job record to reflect Member as an E5. This would result in Member being incorrectly paid as an E5. Pay grade on the job record was manually changed back to the correct grade of E3.
Absence Without Leave (AWOL)			
Human Resources:			
• Member placed in absence without leave (AWOL) status effective 1 March.	✓		• Updated job record to reflect AWOL status. • Suggest targeted analysis research Duty Status.

Expected Results	Acceptable Actual Results		Remarks
	Yes	No	
Payroll:			
• Pay and allowances not accrued during AWOL period.	✓		• Pay and allowances were not accrued during AWOL period.
Return to Duty			
Human Resources:			
• Member returned to duty in effect 8 March.	✓		• Updated job record to reflect returned from leave.
• Adjust service date for lost time for AWOL period.	✓		• Service dates were manually adjusted to reflect 7 days lost time based on AWOL period.
Payroll:			
• Basic Pay ($931.27) E3 with less than 2 years of service paid for 23 days (8-31 March) at EOM March.		✓	• BP ($940.41) E3 with less than 2 years of service paid at EOM March.
• SGLI ($20.00) deduction for March will be collected.	✓		• SGLI ($20.00) deduction for March will be collected.
• Dental waived – no deduction taken in March.	✓		• Dental waived, no deduction taken in March.
• Compute 4% of Basic Pay for Thrift ($37.25).	✓		• Compute 4% of BP for Thrift ($37.62).
• Accrue 1.5 days of leave.		✓	• Accrued 0 days of leave.
• FICA (Social Security $57.74 and Medicare $13.50) calculated on Basic Pay before SGLI and Thrift deductions.		✓	• FICA should be calculated on BP (Social Security $58.30 and Medicare $13.64) before SGLI and Thrift deductions.
• Tax election: Married and 2.	✓		• Tax election: Married and 2.

Expected Results	Acceptable Actual Results		Remarks
	Yes	No	
• Federal Income Tax Withheld ($0) computed on Basic Pay not to include Thrift deduction and before SGLI deduction.	✓		• FITW ($0) computed on Basic Pay not to include Thrift deduction and before SGLI deduction.
• State taxes ($0) withheld - legal residence Colorado.		✓	• State taxes ($3.00) withheld - legal residence Colorado.
• Gross pay $931.27, Net pay $802.78.		✓	• Gross pay $940.41, Net pay $807.85.
• Direct deposit to Transit Routing Number #256078446, checking account #101313-6.	✓		• Direct deposit to Transit Routing Number #256078446, checking account #101313-6.
Tour Completion			
Human Resources:			
• Not accomplished due to Action Reason Table not being setup with a tour completion code.		✓	• Need to address this action reason code during targeted analysis.
Discharge			
Human Resources:			
• Member discharged from service.	✓		• Administrative Discharge is reflected in job record.
Payroll:			
• Pay and allowances accrued through date of discharge.	✓		• Pay and allowances accrued through date of discharge.
• Calculate final pay - outstanding debts collected.		✓	• Final pay process was not run at this time, however it was run at a later date.

3.1.7.3   Discussion

From a Human Resource and Benefits standpoint for this scenario, Member demographic information entered in the accession process appears to meet Service information requirements (e.g., name, gender, birth date, ethnicity, and addresses). PeopleSoft ethnic groups need to be validated against Census Bureau and DoD requirements. Both Member demographic information and dependent/beneficiary information was successfully captured and updated in the database. Position data automatically populated business unit, department, and location fields, but also overwrote Member pay grade based on position/billet grade. The position grade overwrite issue has been addressed in the DIMHRS Issue Log. PeopleSoft supports legal residence/state tax election as an EMSS capability.

From a Payroll standpoint PeopleSoft calculated February 2000 BP incorrectly. Monthly BP of $1214.70 was divided by 29 days, for daily a BP rate of $41.8862. It did not use a 30-day month to compute the daily rate. Only 14 days of BP was paid for 16-29 February 2000. 15 days of BP should have been paid for 16-29 February 2000, however it did not since PeopleSoft did not use a 30-day month to calculate the number of days to be paid.

PeopleSoft calculated March 2000 BP incorrectly. Monthly BP $1214.70 was divided by 31 days for daily a BP rate of $39.1838. It did not use a 30-day month to compute the daily rate for March 2000. 24 days of BP were paid for 8-31 March 2000. 23 days of BP should have been paid for the period of 8-31 March 2000, however PeopleSoft used the actual 31-day month to calculate number of days paid.

April 2000 daily BP rate was computed correctly due to April having 30 days. FICA and Thrift deductions were computed incorrectly due to incorrect BP calculation. Suggest targeted analysis further review of Benefits Administration to determine the viability for Service Requirements.

3.1.8   Scenario 9

3.1.8.1   Synopsis

This scenario demonstrates a prior service officer accession into the Air Force Reserves. As part of the accession process, Member demographic information is collected. Member and eligible dependents/beneficiaries enrolled in Reserve Benefit Program - Death Gratuity benefit plan. The Member elects three accounts for direct deposit of pay and makes a legal residence state tax election. Finally, the scenario demonstrates the Member's drill participation, longevity (step) increase, and assignment to a period of active duty for training with corresponding payment for drill and active duty time.

3.1.8.2 Expected and Actual Results

Expected Results	Acceptable Actual Results		Remarks
	Yes	No	
Accession			
Human Resources/Benefits:			
• Access Member through PeopleSoft Hire.	✓		• Member was accessed. • Member's personal information was captured in the database.
• Maintain and store family member dependent/beneficiary information.	✓		• Member's dependent/beneficiary data was captured in the database.
• Enroll Member and eligible dependents/beneficiaries in Reserve benefit program, reflecting enrollment in Death Gratuity Plan.	✓		• Member and eligible dependents/beneficiaries were assigned to the Reserve Benefit Program and enrolled in the Death Gratuity Plan.
Payroll:			
• Basic Pay ($1104.12) for two drill periods performed on 26-27 March for pay grade O7 over 18 years of service, and two days for active duty tour 30-31 March in weekly pay period 25-31 March.	✓		• BP ($1104.12) for two drill periods performed on 26-27 March for pay grade O7 over 18 years of service, and two days for active duty tour 30-31 March in weekly pay period 25-31 March.
• Dental waived, no deduction taken in pay period.	✓		• Dental waived, no deduction taken in pay period.
• Tax election: Married and 1.	✓		• Tax election reflects married and 1.
• FICA (Social Security $68.46 and Medicare $16.01) calculated on Basic Pay.	✓		• FICA (Social Security $68.46 and Medicare $16.01) calculated on BP.

Expected Results	Acceptable Actual Results		Remarks
	Yes	No	
• Federal Income Tax Withheld ($55.64) computed on Basic Pay.		✓	• FITW $154.47) computed on BP.
• Texas legal residence, state taxes should not be withheld.	✓		• State taxes not withheld - legal residence Texas.
• Gross pay $1104.12.	✓		• Gross pay $1104.12.
• Net pay $964.01.		✓	• Net pay $856.18.
• Direct deposit $822.61 to checking account, Transaction Routing Number #521487902 account #101313-8.		✓	• Direct deposit $725.56 to checking account, Transaction Routing Number #521487902 account #101313-8.
• Direct deposit $45.00 to savings account, Transaction Routing Number #123456789 account #555399101.	✓		• Direct deposit $45.00 to savings account, Transaction Routing Number #123456789 account #555399101.
• Direct deposit $96.40 to savings account, Transaction Routing Number #256078446 account #12345.		✓	• Direct deposit $85.62 to savings account, Transaction Routing Number #256078446 account #12345.
Period of Active Duty			
Payroll:			
• Basic Pay ($1104.12) pay grade O7 over 18 years of service, four days of active duty tour 1 - 4 April in weekly pay period 1 - 7 April.	✓		• BP ($1104.12) pay grade O7 over 18 years of service, four days for active duty tour 1 - 4 April in weekly pay period 1 – 7 April.
• SGLI waived, no deduction taken in pay period.	✓		• SGLI waived, no deduction taken in pay period.
• Dental waived, no deduction taken in pay period.	✓		• Dental waived, no deduction taken in pay period.

Expected Results	Acceptable Actual Results		Remarks
	Yes	No	
• Tax election: Married and 1.	✓		• Tax election: Married and 1 is reflected.
• FICA (Social Security $68.46 and Medicare $16.01) calculated on Basic Pay.	✓		• FICA (Social Security $68.46 and Medicare $16.01) calculated on BP.
• Federal Income Tax Withheld ($55.64) computed on Basic Pay.		✓	• FITW ($154.47) computed on BP.
• State taxes not withheld - legal residence Texas.	✓		• State taxes not withheld - legal residence Texas.
• Gross pay $1104.12.	✓		• Gross pay $1104.12.
• Net pay $964.01.		✓	• Net pay $856.18.
• Direct deposit $822.61 to checking account, Transaction Routing Number #521487902 account #101313-8.		✓	• Direct deposit $725.56 to checking account, Transaction Routing Number #521487902 account #101313-8.
• Direct deposit $45.00 to savings account, Transaction Routing Number #123456789 account #555399101.	✓		• Direct deposit $45.00 to savings account, Transaction Routing Number #123456789 account #555399101.
• Direct deposit $96.40 to savings account, Transaction Routing Number #256078446 account #12345.		✓	• Direct deposit $85.62 to savings account, Transaction Routing Number #256078446 account #12345.

3.1.8.3   Discussion

From a Human Resource and Benefits standpoint Member demographic information entered in the accession process appears to meet Service information requirements (e.g., name, gender, birth date, ethnicity, and addresses). PeopleSoft ethnic groups need to be validated against

Census Bureau and DoD requirements. Both Member demographic information and dependent/beneficiary information was successfully captured and updated in the database. Position data automatically populated business unit, department, and location fields, but also overwrote Member pay grade based on position/billet grade.

From a Payroll standpoint, this scenario demonstrated that for pay and allowances not to accrue for a Reserve Member on a full-time basis, "OK to Pay" for Reserve pay group must be turned off. BP was computed outside of the application, with manual input required on the paysheet for each Member to be paid properly. Third-party allotments were not analyzed during initial analysis. Further review is required by targeted analysis.

3.1.9 Scenario 10

3.1.9.1 *Synopsis*

This scenario demonstrates a non-prior service accession of an officer into the Active component. As part of the accession process, Member demographic information is collected and Member and eligible dependents/beneficiaries are enrolled in Active Benefit Program plans. The benefit plans include dental and life insurance; legal residence state tax election is recorded. An automatic step increase is processed for the Member. The scenario demonstrates PeopleSoft's capability to record the Member's divorce and subsequent garnishment actions to pay court-ordered child support. The scenario concludes with collection action for an Army and Air Force Exchange Service (AAFES) debt, and payroll processing of the garnishment and debt collection.

The Navy team generated Payroll reports for selected pay periods and compared them to the Navy team's expected pay results.

3.1.9.2 *Expected and Actual Results*

Expected Results	Acceptable Actual Results		Remarks
	Yes	No	
Accession			
Human Resources/Benefits:			
• Access Member into the Active component.	✔		• Member accessed into the Active component.
• Maintain and store Member and Member dependent/beneficiary information.	✔		• Member and Member dependent/beneficiary information collected.

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Expected Results	Acceptable Actual Results		Remarks
	Yes	No	
• Enroll Member and Member eligible dependents/beneficiaries into the appropriate Benefit Program.	✓		• Member and Member eligible dependents/beneficiaries enrolled into the Active Benefit Program.
Payroll:			
• Calculate 11 days of base pay.	✓		• 11 days of BP were correctly calculated.
• Calculate 11 days of BAH.	✓		• BAH was manually calculated and input as Additional Pay, and therefore, correctly reflected on the pay register.
• Deduct Family Dental and SGLI.	✓		• Family Dental and SGLI were correctly deducted.
• Calculate and deduct Federal and FICA tax withholding.	✓		• Federal and FICA withholding were calculated correctly.
• Deduct no state taxes because the Member's State of Legal Residence was Texas.	✓		• State taxes were not withheld for the state of Texas. However, state taxes were withheld for the state of Virginia. This was due to an installation table setting that withholds based on home address.
Automatic Step Increase			
Human Resources:			
• Process automated longevity (step) increase.	✓		• Automated longevity (step) increase processed successfully.

Expected Results	Acceptable Actual Results		Remarks
	Yes	No	
Divorce, Garnishment, and Debt Collection			
Human Resources/Benefits:			
• Record a life event (divorce) and the related benefit changes.	✓		• Divorce recorded in PeopleSoft.
• Record garnishment information (child support) and the related pay deductions.	✓		• Garnishment recorded in PeopleSoft.
Payroll:			
• Calculate 15 days of base pay.	✓		• 15 days of BP were correctly calculated.
• Calculate 15 days of BAH.	✓		• BAH was manually calculated and input as Additional Pay, and therefore, correctly reflected on the pay register.
• Deduct no Family Dental and SGLI in this pay run.	✓		• No Family Dental and SGLI were deducted, as expected.
• Deduct a garnishment flat amount of $250 for one-half of the monthly court-ordered child support plus $1.75 for administrative fee payable to the court.	✓		• The garnishment deduction of $251.75 was deducted correctly.
• Record debt collection (AAFES). Deduct AAFES debt of $1,200.		✓	• AAFES debt collection recorded in PeopleSoft. The AAFES deduction did not occur in the pay runs for this scenario.
• Record a backdated accession and generate retroactive pay.		✓	• Retroactive pay did not occur.

Expected Results	Acceptable Actual Results		Remarks
	Yes	No	
• Calculate and deduct Federal and FICA tax withholding.	✔		• Federal and FICA tax withholdings were calculated correctly.
• Deduct no state taxes because the Member's State of Legal Residence was Texas.	✔		• State taxes were not withheld for the state of Texas, as expected. However, state taxes were withheld for the state of Virginia. This was due to an installation table setting that calculates withholding based on all home addresses.

3.1.9.3 Discussion

From a Human Resources and Benefits standpoint, Member and eligible dependent/beneficiary demographic information was successfully collected and entered in the accession process. For this scenario the Member's divorce was documented on the Personal Data panel and the benefit changes were documented on the Benefits Administration panel. Family status changes can also be documented on the Job Data panel with automatic update of the Benefits panel. However, neither of these panels is tied into payroll. Targeted analysis will need to review dependencies between family status changes and payroll and the impact to payroll processes. Garnishment setup and functionality will require further review during targeted analysis. Due to garnishment scope and complexity, further analysis should be conducted in conjunction with structured garnishment training.

From a Payroll standpoint, the garnishment amount was correctly deducted. Analysis of the pay runs for this scenario determined that setup was incomplete for the debt collection action (AAFES deduction). This deduction code needed to be added to the Company General Deductions table. Also, the Deduction Calculation Routine field on the AAFES General Deduction Data panel at the employee level needed to be set to "Flat Amount". The AAFES deduction did not occur in the initial pay runs for this scenario and time constraints did not allow the generation of a pay register to verify this deduction. In processing the retroactive pay action, analysis concluded that retroactive pay in PeopleSoft is not based on a backdated accession. Retroactive pay in PeopleSoft is defined as a recalculation of previously calculated values. Therefore, the retroactive pay process did not run for this scenario because no previous pay records existed. In addition, PeopleSoft gross pay calculations were not equal to expected results due to the retroactive pay issues discussed above. BAH rates are based on grade level and should be added to pay automatically when the Member has been coded for BAH. To pay the Member

BAH within the as-delivered PeopleSoft product, it was necessary to manually input the value into the Additional Pay panel of PeopleSoft. Finally, during the installation table setup, the auto-tax update for State withholding was selected.   As a result, State withholding occurred for each mailing address rather than for only the State of Legal Residence.

3.1.10   Human Resources Results Analysis

Overall the personnel actions executed during scenarios worked as expected based on the way the foundation and Human Resources tables were set up for the initial analysis and the minimal data elements contained in the scenario scripts. The following sections contain a summary of significant personnel-related issues that arose during scenario execution, and address each of the business processes identified as in-scope for the initial analysis.

3.1.10.1 Human Resources Results Summary

The areas of greatest concern during the initial analysis effort focused on DoD dates, action reasons, navigation, data entry and defaults.

DoD Dates

The Initial Analysis Team expressed concern that not all of the DoD dates are delivered by PeopleSoft. PeopleSoft does deliver a number of date fields, many with associated processing rules. The DoD needs to fully understand each of these dates to determine the applicability to DoD date requirements. There is a need for in-depth analysis to compare each of the dates tracked by DoD with the dates delivered in PeopleSoft to determine the correct mapping and to identify any custom date requirements. This is an essential task for targeted analysis.

In a few scenarios the Service Teams had to manually adjust the values in two PeopleSoft date fields: Company Seniority Date (initially intended to be used as Pay Date/ PEBD), and Service Date (initially intended to be used as Total Active Federal Military Service Date (TAFMSD). These manual adjustments were necessary when a scenario action, such as a period of AWOL, results in lost active duty or service time. The Service Teams also noted that there was no delivered PeopleSoft field that could be used to track Good Conduct Medal eligibility dates.

Action Reasons

PeopleSoft delivers a set of standard action codes and associated reason codes. Customers may add action reason codes to support their business processes. While the Initial Analysis Team added the action reason codes necessary to support the scenarios, targeted analysis must correlate PeopleSoft delivered action and action reason codes with current DoD personnel and pay actions, as well as duty and casualty statuses represented in the DoD standard data element for Duty Status.

Navigation

The PeopleSoft-delivered menu structure is not entirely intuitive and requires some degree of training to effectively navigate through the system. It is also burdensome since each step in the

process may require re-navigation to other pages through the menu structure. PeopleSoft, however, also delivers a set of business process maps that can be used to simplify navigation. These maps can be set up to support defined workflows and should greatly facilitate system navigation. The Initial Analysis Team did not use this alternative navigation means, however, recommend that it be reviewed during targeted analysis.

Data Entry and Defaults

Initial entry of Member data requires a substantial number of data entry pages, each of which has a limited set of fields. This page structure is based on the underlying data structures. In order to ease data entry burden, the Initial Analysis Team recommends investigating the capability to create streamlined data entry. Since much of the Member data is collected in Service recruiting systems, an interface should be created to populate the PeopleSoft Recruit Workforce module to mitigate duplicative data entry.

The PeopleSoft application uses foundation and setup tables to capture an organization's core data that is used throughout the system. These tables provide default values, eliminate redundant data entry, enforce data integrity, and ensure consistency. Further analysis is required to adequately set up the default values and eliminate embedded defaulting where delivered processes are inconsistent with DoD requirements. These changes to defaults are not modifications to the product and are an expected part of user setup.

3.1.10.2 DIMHRS Personnel Processes Results Summary

The following sections provide a summary of the results of the DIMHRS business processes included in the initial analysis scope.

Access Member

The Service Teams found it a bit cumbersome to navigate through the numerous pages required to initially enter Member data. Targeted analysis should investigate a way to streamline data entry screens.

DoD currently uses a Member's SSN as a unique identifier. This results in problems when two Members have the same SSN. PeopleSoft recommends not using SSN as the EMPLID for a number of reasons, including Privacy Act related issues. During scenario execution the Service Teams used SSN as the EMPLID and manually entered this number during the Hire action. The Initial Analysis Team wanted to test both methods, however, PeopleSoft permits only one method of entry. DoD needs to determine the most appropriate method of EMPLID assignment based on DIMHRS implementation, database architecture, and migration strategy. DoD currently has a strategy for dealing with duplicate SSNs and the feasibility of incorporating the DoD approach should be reviewed because so many external systems and processes are dependent on the DoD identifier.

The DoD tracks a number of different addresses for a Member, including home address, home of record, mailing address, etc. The Address page in the Personal Data component provides fields for entry of home and mailing address. The Addresses component provides effective-dated entry

fields for other types of addresses, including customer-defined address types. The Initial Analysis Team created a "Home of Record" address type for the scenarios.

During entry of emergency contact information, the Initial Analysis Team noted that there is no place on the Emergency Contact page to track directions to the emergency contact's home. To support the scenario, the Service Teams used one of the dependents/beneficiaries as an emergency contact and captured direction information using the Dependent/Beneficiary Comment page. Targeted analysis needs to determine the best way to accommodate directions for emergency contacts.

The Job Data component contains a number of detailed pages for data capture. The Work Location page is where the action and action reason codes are entered. This is also where the user enters the Position to which the Member is being assigned. All Member job records contain a position number. Based on entry of the Position number, several fields are automatically populated in the job record based on defaults defined in the Position Data tables as well as other foundation tables. The Initial Analysis Team identified a few issues related to these data defaults that targeted analysis must address:

- When a user enters a position number, the Salary Administration Plan, Grade and Step fields, and corresponding entry date fields on the Salary Plan page are automatically populated with the values set up on the Position Data record. This is not acceptable for DoD. The Member's grade changes as a result of a promotion or demotion action, not as a result of a position assignment. In addition, the step is based on a Member's longevity and is not tied to the Position or Grade. The team identified a temporary work-around for initial analysis by selecting the Position Data Override checkbox on the Work Location page in the Job Data component to eliminate automatic position data update of Member Job records. Targeted analysis must determine the best way to deactivate the process that automatically updates these fields.

- The delivered PeopleSoft service, grade, and step entry dates are not used and updated consistent with DoD business rules. These and all Member-related dates tracked by DoD need to be evaluated against delivered PeopleSoft dates. It will likely be necessary to add more date tracking capabilities in PeopleSoft to meet DoD personnel and pay business needs.

Dependent Support

PeopleSoft delivers access to the Dependent/Beneficiary pages in several menus, including Administer Workforce and Administer Base Benefits. A Member's dependent/beneficiary information must be captured in the system prior to enrolling the Member in benefits plans. DoD needs to determine the most appropriate organization to be responsible for capturing and maintaining dependent and beneficiary information for a Member.

Job Classification

The PeopleSoft Manage Competencies module provides substantial capabilities to track Member competencies (such as skills, specialties, and designation) and accomplishments (such as

education, licenses/certifications, tests, memberships), as well as associate competency and accomplishment requirements with user-defined roles (such as a job or position). The same set of competencies can also be associated with training courses in the Administer Training module. By maintaining Member competency and accomplishment information and position/job requirements, PeopleSoft is able to perform matches between Members and position/job requirements. Since Manage Competencies is integrated with the Administer Training module, the match results also include a link to training courses associated with the desired competencies. These capabilities will allow the Services to quickly identify Member training requirements.

PeopleSoft maintains Job Codes that are comparable to DoD occupations, however, the Job Code field length is only six characters. This is not long enough to accommodate the DoD occupation codes (e.g., MOS/AFSC/Rating), secondary and tertiary MOS/Rating codes, plus additional special skill indicators (e.g., SQI/AQD). DoD needs to use competencies (Competencies Table) to track occupational specialties. Significant analysis is required to properly establish competency and accomplishment-related information for the DoD.

Assignment/Transfer Action

During scenario execution, the Initial Analysis Team identified a problem with the Assignment action reasons they had established in PeopleSoft. The team originally intended to use the Assignment Action Reason Codes to handle Member assignments, however, the team learned that the Assignment action is specific to multiple job functionality. While this is not a valid option for all types of assignments, it is applicable to temporary duty and deployments. The Initial Analysis Team recommends that targeted analysis investigate these special types of assignment. For the initial analysis, however, the team determined that the Transfer action was more appropriate and added the necessary Action Reason Codes to the Transfer action code. The Transfer action will be used whenever a Member changes business unit (Service or Service Component), position, location, or job. Based on targeted analysis of Track Global Assignments, DoD may decide to use the Assignment action for Member position changes related to TDY or deployments.

The Initial Analysis Team believes there is a basic fit between PeopleSoft Position Management and the DoD position and strength accountability requirements. PeopleSoft supports a one to one, or a one to many relationship between Positions and Members. DIMHRS should utilize the PeopleSoft capability to establish a one-to-one relationship between Positions and Members. There are a few DoD-specific data items that PeopleSoft must accommodate and some data default/override issues that targeted analysis must address.

The PeopleSoft Track Global Assignments module utilizes the Assignment actions and facilitates tracking of multiple concurrent jobs for a Member, one at home station and one at a host organization/location. While there appears to be a good fit in the personnel tempo (PERSTEMPO) area for tracking temporary duty and deployment, the scope of initial analysis did not permit time to analyze tracking global assignment in the context of the PeopleSoft multiple jobs concept. The team recommends that this functionality be considered during targeted analysis of temporary duty and deployment assignments.

The PeopleSoft Employee Checklist functionality provides a tool for monitoring standardized lists of discrete action items during the execution of "general" actions such as Transfer or Global Assignment (e.g., in-processing and out-processing checklists). Current assignment processing at many DoD installations have fostered locally developed paper checklists for in- and out-processing. The PeopleSoft tool will expedite the standardization of these lists while greatly facilitating monitoring of each Member's progress on the appropriate checklists. The Initial Analysis Team feels the checklist feature has wide applicability across the DoD to standardize many manual processes in use today.

Change Grade

The Initial Analysis Team was able to use delivered PeopleSoft action codes for key personnel life cycle events including promotion, demotion, and military personnel class change. Further analysis may be required to integrate all applicable DoD reasons for these action codes. The team also set up the published DoD salary rates in the PeopleSoft Salary Administration Plan, Grade and Step tables.

To support the demotion action within one of the scenarios, the Initial Analysis Team used the disciplinary action component in the PeopleSoft Labor Relations module. This component provides a foundation for tracking Uniform Code of Military Justice (UCMJ) and non-UCMJ actions. The Initial Analysis team recommends that the DoD standardize disciplinary action types, steps, and resolutions consistent with current Judge Advocate General practices.

Status Change

The Initial Analysis Team used the delivered PeopleSoft Transfer action and created specific action reason codes to address types of DoD status changes, such as inter- and intra-Service transfers. Additional analysis must ensure all type of DoD status changes are accounted for in PeopleSoft action reasons. Use of these action reason codes will help track time in service across components. In addition, the Member record contains data fields to track Service and Component.

Award

The Initial Analysis Team used delivered PeopleSoft capability to set up, grant, and track Member commendation medals. The team identified a need to establish a date field to track Member Good Conduct Medal eligibility.

Career Management (Reenlistment/Retention)

The Initial Analysis Team was able to use delivered PeopleSoft Contract Data capabilities to create Member enlistment and reenlistment contracts. Delivered functionality adequately supports both Service and DoD standard contract requirements, including the capability to track contract end dates to trigger re-enlistment action. The Initial Analysis Team recommends that targeted analysis define a requirement to display a warning if the effective date of a Member Termination Action is prior to the Contract End Date. The team also recommends standardizing

contract clauses and developing Contract Templates to help streamline data entry of contracts/appointments.

Retirement

The Initial Analysis Team used delivered PeopleSoft Action and Action Reason Codes to demonstrate a Member's retirement. Further analysis is necessary to set up action reason codes to address the various types of retirements (e.g., selected early retirement board actions, regular voluntary retirement, statutory retirement, retired not eligible for pay, etc.).

Discharge

To support the scenarios, the Initial Analysis Team used the delivered PeopleSoft Termination action and created custom action reason codes for medical discharge, insubordination, and general discharge. The Team concluded that termination actions were adequately supported in PeopleSoft. If a Member is discharged and subsequently re-enlists, his record of prior service will be accounted for. PeopleSoft delivers a few date fields to track time in service, however, DoD may need to create custom calculation routines to automatically maintain these dates. Further analysis is required to investigate other PeopleSoft options, such as special accumulators, to track total time in service and retirement points.

Other PeopleSoft Capabilities of Note

The Initial Analysis Team identified a few PeopleSoft modules that are applicable to other DoD communities.

The PeopleSoft Health and Safety module provides capabilities to track Member medical information as well as injury and incident details. The Human Resources Team recommends that this module be considered in incident/line of duty/casualty reporting.

The PeopleSoft Labor Relations module includes grievance-tracking capabilities that could be considered to record Member grievance actions such as correction of military records.

The integration of PeopleSoft Manage Competencies and Administer Training modules provides the potential to streamline identification of Member training requirements and improve utilization of schoolhouse quotas if both modules are implemented.

3.1.11   Benefits Results Analysis

Dental Plan

Currently, DoD offers a dental plan to family Members of Active Duty personnel and to the Reserve Member and their family Members. The Service Member is responsible for initiating dental coverage directly with the carrier. In legacy systems, the carrier contacts DFAS electronically to set up the allotment. DFAS then updates the pay system to reflect the allotment.

The Initial Analysis Team set up the dental plan in PeopleSoft to understand the way that PeopleSoft handles health plans and family members. Service Members were enrolled in the

Dental Plan for Employee Only, (automatically defaults to "Waive" unless otherwise specified), Employee and One Dependent, or Employee and Multiple Dependents. When an option of One Dependent or Multiple Dependents is selected, the appropriate family members must be associated to the plan. The event rules were set up to start the dental coverage and dental deduction on the 1st of the following month after election. Dental deductions did not show up until the following month's pay.

The amount of information the Military needs for tracking dental information will determine the way the dental information and allotment amounts are stored on the PeopleSoft tables. One option is to set up a general deduction on the payroll side to handle the allotment. The second option is to load the dental election, effective date, and covered family members on the Health benefit table. This will automatically determine the deduction amount for payroll.

Life Insurance – Default Coverage

DoD currently offers SGLI to Members. The default SGLI coverage is set at the highest life insurance coverage amount offered of $250,000, and $20.00 a month is deducted from a Member's pay. If a beneficiary is not designated, "By Law" is indicated on the enrollment form.

The Initial Analysis Team set up the SGLI plan to default to the $250,000 coverage plan if the Member did not elect coverage. The PeopleSoft system will give an error message if there is not a beneficiary assigned to the plan. PeopleSoft-delivered setup requires a beneficiary for this plans. This option may be turned off. The Initial Analysis Team decided to leave the beneficiary requirement option turned on. An error message is displayed when a SGLI beneficiary is not designated. The DoD may need to consider additional life insurance plans to cover Individual Ready Reserve (IRR) and Muster Reserve Members.

Life Insurance – SGLI, No Coverage

A Service Member may elect "No Coverage" and the cost is $0.00. Human Resources then submits a transaction to the pay system to effect this change.

The Benefit Program table delivers the ability to set up an option, waive plan, credits, and program level rules. During the initial analysis setup, the Team first entered an option plan called "No Coverage" into the Benefit Program table with a $0.00 cost rate table. When trying to enroll the service Member in the option plan, the PeopleSoft-delivered business process required a beneficiary to be designated for the option. The Initial Analysis Team went back to the setup table for the Benefit Program and deleted the "No Coverage" option plan and added in a "Waive" SGLI plan. When electing the Waive plan the beneficiary designation is grayed-out on the page and not required.

Life Insurance – SGLI Deduction Amount for Semi-Monthly Members

Currently, legacy systems take half the Life Premium deduction in the first pay period and half in the second pay period for semi-monthly Members. If the Member is accessed in the second half of the month the Member pays the full premium out of the first check. When a service Member is discharged within the first pay period of the month, the full monthly life insurance amount is deducted from the final pay.

PeopleSoft-delivered business practice is to set up the deduction amount to either have half the amount come out of both checks, all out of the first, or all out of the last. The Initial Analysis Team first set up the deduction to come out of both checks. When the Member was accessed in the middle of the month and only received the second pay of the month only half of the amount was deducted from the Members check. The Initial Analysis Team went back to the deduction table and changed the setup to take the full amount out of the second pay period of each month. When the team re-calculated the deductions, the full SGLI was taken. All subsequent payroll runs had the SGLI deduction only coming out of the second pay run of the month. When the service Member was discharged within the first pay period of the month no deduction was taken. A manual adjustment was made for the full monthly life insurance amount to be deducted from the final pay.

Thrift Savings Plan

DoD will begin offering a TSP in fiscal year 2002. Generally, Uniformed Service Members will participate under the same rules and receive the same benefits as civilian TSP participants. Participants may contribute up to 7 % of the BP and all or any whole percentage of any special or incentive pay if currently contributing from basic pay.

The Initial Analysis Team set up the Savings Plan table with two options. One plan was set up for the standard Thrift Plan (maximum of 7% using a special accumulator for BP only). The team then set up a second plan for Thrift-Special/Incentive Pay (maximum of 100% using a special accumulator to track any special or incentive pay, including reenlistment or other bonuses).

PeopleSoft provides the ability to track Thrift Plan investments. For initial analysis, investment options were not set up. When enrolling a participant in the Thrift Plan there are edits to make sure investments have been selected, if not PeopleSoft displays this error message. "The employee has elected a savings plan that requires the selection of investment options, but no entries exist." The Initial Analysis Team clicked on the "Ignore Investment" on the Event Rules Table to prevent the system from checking the delivered investment edits.

Death Gratuity

DoD currently offers a death gratuity plan that provides a lump sum payment to the Member's designated next of kin. Military personnel does not administer payment of the death gratuity.

PeopleSoft delivered business practice is to set up the Death Gratuity as a Life Insurance Plan. The Initial Analysis Team set up the Death Gratuity Plan on the Life and AD&D plan table with a $0.00 cost. This provides the capability to track beneficiaries. When using PeopleSoft to track beneficiaries, first the Member must be enrolled in a valid plan (only one plan was set up) and then the beneficiary assigned with the percentage associated.

Leave Plan – Accrual Process

A Member of an armed force is currently entitled to leave at the rate of 2.5 calendar days for each month of active service, excluding some absence periods. For partial months, the Active

Members will accrue .5 day of leave for six days worked. If the Member works at least one day in that period the .5 day of leave is accrued. This equates to 2.5 days per month.

PeopleSoft-delivered business practice is to set up the Leave Plan to accrue hours, not days. The Initial Analysis Team set up the Leave Plan to accrue 20 hours per month. Each time the team ran the accrual process, each Member enrolled in the Leave Plan, effective at least one day in the pay period, received 20 hours of accrued leave instead of the appropriate pro-rated number of hours. The Team set up the Leave Plan table to accrue leave on a pro-rated basis. The team set up the Leave Plan table as described for Active Members currently using the standard hours frequency of 240 (based on a 7-day work week and 8 hours per day):

- 0 – 48 service hours accrue 4.0 hours per month

- 49 – 96 service hours accrue 8.0 hours per month

- 97 – 144 service hours accrue 12.0 hours per month

- 145 – 192 service hours accrue 16.0 hours per month

- Over 192 service hours accrue 20.0 hours per month

The number of hours recorded in the BP special accumulator for each month determined the number of hours accrued based on the table setup for the month.

Leave Plan – Carryover for Accumulated Leave

A Member of an armed force who serves on active duty can lose any accumulated leave in excess of 60 days at the end of that fiscal year (30 September) unless permitted to retain such leave.

PeopleSoft delivers a setup table to specify "Max Leave Balance" and "Max Leave Carryover". The Initial Analysis Team set up the table to reflect 720 hours in the Max Leave Balance field and 480 hours in the Max Leave Carryover field. Using the Accrual Rate on the setup table of Hours per Month results in defaulting the Award Frequency to "First Run of Month". Each month the process will check the table for Max Leave Balance. Each calendar year (31 December) the process checks the Max Leave Carryover field on the table. PeopleSoft does not support fiscal year leave accounting. It would be a change in DoD business practice to use the PeopleSoft calendar year carryover process.

Vacation Sell

Under current DoD policy, Service Members are allowed to sell leave upon re-enlistment, retirement, and discharge, up to a career maximum of 60 days. The 60-day maximum can be overridden, depending on the type of duty the Member is serving (e.g., a Reservist called to active duty).

PeopleSoft-delivered business practice provides the ability to set up a Vacation Buy and Sell Plan. The Initial Analysis Team set up a Vacation Sell plan to automatically enroll the Member into the plan. The intent was to allow pay for unused vacation. An error message was generated

when trying to enroll Members into the plan. Upon enrollment, the delivered Vacation Sell plan requires a specified number of hours. After working through the issues, it was decided that the delivered Vacation Sell plan was not appropriate for the DoD.

The Leave Plan, already set up for accruing leave would handle this process by setting up the Leave Earnings Code.

PeopleSoft-delivered Leave Table setup provides an option to select "Pay in Lieu of Time Off" that permits employees to receive payment for accrued leave in lieu of using the time.

PeopleSoft provides an option to allow unused leave time to be paid at termination by selecting "Pay at Termination" on the Leave Table.

PeopleSoft provides an option that allows employees to take more leave hours than they have accrued by selecting "Allow Negative Balance."

Dependent/Beneficiary Relationships

Members report their dependents, dependent relationships, next of kin, and next of kin relationship at the Unit level. There are approximately 30 DoD-delivered relationship codes. PeopleSoft delivers 28 effective-dated relationship codes and the capability to add new values. The Benefits Team recommends that targeted analysis teams accommodate the DoD relationship codes and deactivate irrelevant PeopleSoft-delivered relationship codes.

Benefits Administration

- The Initial Analysis Team recommends that the DoD pursue a more in-depth understanding of PeopleSoft Benefits Administration, its uses, applicability, and benefits to military benefits and pay processing. The team encountered some difficulty in correctly setting up the event rules for the various personnel action reason codes that resulted in processing errors during scenario execution.

- Benefits Administration is used for both Open Enrollment and Event Maintenance. During the training, the Initial Analysis Team focused on Open Enrollment and understanding the Benefits Administration from an overview approach. During the 12-week analysis, the team focused on Event Maintenance.

- Event Maintenance is used to process changes during the plan year. Event Maintenance identifies participant events (usually driven from Human Resources) that may change benefit eligibility. The Event Maintenance processing flow usually begins with the identification of a newly accessed Member, the ability to produce an enrollment statement, entering elections, into the system, validation of the elections and a system produced confirmation statement.

- During the initial analysis, the teams focused on entering benefit elections for new hires, automatically enrolling leave plans for the reserve Member transferring to active duty, and automatically terminating benefits for a discharge.

- Open Enrollment is used for annual or mid-year benefits re-enrollment. Typically an open enrollment process is executed in the last quarter of the current year for the next year. Uniformed Services Members will be able to sign up to participate in the TSP during two special "open seasons" per year.

Benefits Administration Process Summary

The On Demand Event Maintenance page is used to process the activity record/event through all stages of the Benefits Administration process.

- Schedule/Prepare Options – When the Benefits Administration process runs, it assigns the Member activity record to the appropriate schedule, determines program eligibility, and prepares options.

- Event Status Update – This page is used to review the Benefits Administration events currently being processed.

- Election Entry – Once the system has successfully prepared benefit options on the data entry pages, the user enters a Member's benefit elections on the Election Entry page.

- Validate/Finalize – This process validates and loads the benefit tables with the benefit option elections entered for the participant.

- Show Errors – If errors occur during the Validate/Finalize process, the system displays the total number of error messages that were generated in the Messages field. Users correct errors through the Election Entry page and re-run the Validate/Finalize process until no errors occur.

Advantages to Benefits Administration

- Automatically enrolls Member in the Leave Plan.

- Validates family members for Health plans with coverage codes of "One Dependent" or "Multiple Dependents."

- Validates beneficiaries for Life plans including SGLI and Death Gratuity, and for Thrift Savings Plan and the associated percentages.

- Populates coverage and deduction begin and end dates based on the Human Resources action/reason effective date and business rules associated with each benefit plan.

Disadvantages to Benefits Administration

- Must run the process to be able to make any changes to the benefits.

- PeopleSoft accrues leave based on hours instead of days, and one day contains eight hours. Current DoD business practice is to quote leave balance in terms of days.

- Using automated benefits requires extensive table setup for event and eligibility rules.

3.1.12   Payroll Processing

The Scenario Session Structure organized the individual scenario actions into 6 sessions based on pay periods. Upon completion of the activities within each session, the Initial Analysis Team executed the PeopleSoft payroll processes. The payrolls supported weekly (reserve), semi-monthly, and monthly payroll production. The Initial Analysis Team used the following major steps to execute payrolls:

Pay Processing Steps

- Presheet Audit. This audit report is designed to identify setup problems that could cause problems in the paysheet creation process.

- Create Paysheets. Paysheets are a repository for the data required to calculate employee pay.

- Pre Calculation Audit. This report identifies records or data values that could lead to pay calculation problems.

- Pay Calculation (Preliminary). This feature allows multiple calculations until the result is ready for final pay calculation.

- Payroll Register. The Payroll Register provides a gross-to-net breakdown by individual and summary totals by organization level.

- Other Earnings and Deduction Registers. These registers can be created when necessary.

- Final Pay Calculation. The final pay calculation is executed when the preliminary pay calculation results are deemed satisfactory. This step prepares the payroll for confirmation.

- Pre Confirmation Audit.   This report identifies values that could lead to pay confirmation problems.

- Pay Confirmation. The Pay Confirmation process finalizes the payroll for creation of paychecks, pay advice documents, supporting registers, and update balances.

- Pay Calendar Table Review. The Payroll Team reviewed the pay process checkboxes on the Pay Calendar table to ensure payroll processes completed.

- Create paychecks, direct deposit advices, supporting registers, and other pay products.

- Review Payroll Messages. Between each major step of the payroll process, the Payroll Team reviewed error messages and resolved issues as necessary.

The PeopleSoft pay process checklist and screen prints from a sample session payroll are provided in Appendix O.

Payroll Processing Results

The Initial Analysis Team ran payrolls to verify the results of data entered during the initial analysis sessions. Payroll scenarios were not designed to test the capability to compute all pay types; rather, a limited scope (e.g., BP, Flight Pay, BAS, BAH, related taxes, and deductions) as defined in section 1.3 of this document. The Team tested mid-month and EOM payrolls for active duty Members and Reserve Members on long tours. The team tested weekly payrolls to also address inactive duty training (drill) and short active duty periods for Reserve Members. The following paragraphs summarize the results of the payroll runs.

- Basic Pay Compensation. As a result of multiple attempts to work around PeopleSoft-delivered pro-ration logic, BP calculation results were inconsistent from session to session. PeopleSoft's computed BP (salary) results and DoD expected results varied based on a Member's pay frequency, pay group, job action, and pay period. PeopleSoft computes the daily rate by annualizing the monthly salary and dividing by actual calendar days (depending on the pay frequency of the Member and the calendar month involved) rather than the 360-day year used by DoD. For example, months with other than 30 days were problematic in obtaining the expected prorated results, while April worked correctly. PeopleSoft consultants attempted several combinations of user-defined frequencies, standard hours, and work periods to automatically calculate BP at the correct rate for all Members. The Payroll Team attempted various combinations of calendar days, 364, 365, and 366, to duplicate the PeopleSoft results. The PeopleSoft consultant's attempted solutions did not resolve pro-ration problems related to mid pay period changes. In several instances the 364-day year yielded the actual results but could not be related to PeopleSoft logic. PeopleSoft BP computations were manipulated at the Pay Sheet level to obtain expected results. For example, BP for inactive duty training (drill) and short active duty periods was manually entered at the Pay Sheet level by either inputting the gross amount or units and rates. This issue is included in DIMHRS Issues, Section 3.2.2 of this report.

- Additional Pay Processing. PeopleSoft delivers a single table in which two data elements (grade and step) are used to derive a Member's monthly BP. During initial analysis, entitlement amounts (other than BP) were computed manually and entered in the additional pay screen or on the Pay Sheet by using units times rate (e.g., Fly Pay for a Reserve Member). When computations were manually entered on the additional pay screen or Pay Sheet; PeopleSoft did release the correct funds to the Member for payment. The PeopleSoft consultant stated that the functionality of PeopleSoft Time and Labor and other capabilities, such as user exits, special calculation routines, delivered rules, etc., could be used for military pay calculations and could be driven by multiple pay computation factors (e.g., fly time, grade, longevity, etc.).

- Deduction Processing for monthly deductions. The collection of a monthly deduction amount (i.e., AFRH, SGLI, Dental Insurance, Advance Pay Deduction) for Members in semi-monthly and weekly pay groups who were not present for all pay periods during the month proved to be a problem in PeopleSoft. The Initial Analysis Team tried several setups to ensure the correct deduction amount for the month but none were successful. This may also have an impact on current allotment functionality (see General Deductions/Direct Deposit Processing). Targeted teams must test and analyze, step-by-step, the data changes, arrears processing, and computational impacts in the general deduction arena for all job-related actions.

- Reduction of Basic Pay (Forfeiture) Collections. During initial analysis, PeopleSoft's general deduction processing was used to collect the forfeiture of pay. The Initial Analysis Team manually inserted a calculated amount for each pay period because PeopleSoft does not pro-rate deductions. However, the PeopleSoft consultant advised the Payroll Team that forfeitures of pay could be handled as "negative" earnings in PeopleSoft Time and Labor.

- General Deductions/Direct Deposit Processing. As delivered, PeopleSoft does not specifically provide a pay distribution capability comparable to the allotment functionality of the legacy pay systems. The PeopleSoft consultant advised that this functionally may be accomplished in PeopleSoft by using multiple delivered capabilities (Direct Deposit and/or General Deductions) with minor modifications (capturing account number, policy number, etc.). PeopleSoft does provide delivered functionality for the purchase of Savings Bonds and deductions for other charitable organizations. (This was not within the scope of Initial Analysis). We also recommend that this issue be analyzed in the context of the detailed DIMHRS Pay Module (DPM)/DFAS Corporate Database (DCD) interface. Further information is included in DIMHRS Issues, Section 3.2.2.

- Retroactive Pay Changes. PeopleSoft processes retroactive pay only if the earnings code is set up for retroactive pay eligibility and the Member has previously received pay for the earnings code in question. This does not include late accessions, late entitlement starts, or late posting of duty such as Drill Periods. It should be noted that the Initial Analysis Team only tested a late accession. The Member received pay for the current pay period and entitlements and deductions for previous pay periods were manually computed and entered into the system by means of Additional Pay and General Deduction screens.

- Tax Amount Computations. The PeopleSoft actual federal and state tax computation amount results were different than the DoD expected results. Part of the reason for the difference is that PeopleSoft's tax computations were based on 1 January 2000 tax tables. The results expected by DoD were based on the current version of the DMO software that uses the 1 January 2001 tax tables. Also, it was noted that different tax methods were utilized for supplemental payments. PeopleSoft calculated the 28% flat rate and then annualized the earnings while expected results were based on a flat rate. Targeted analysis should closely review and understand delivered functionality concerning military residency and exemption rules for state taxes in light of current DoD business practices and legacy system capabilities.

- Direct Deposit Advice and/or Check Advice. On the PeopleSoft Deposit Advice and/or Check Advice [i.e., Leave and Earnings Statement(LES)], earnings are not listed as separate line items if there is a pay rate change. The LES produced by the legacy pay systems separate entries based on days and rates, or includes such information in a "Remarks" section at the bottom of the statement.

Payroll Lessons Learned/Recommendations

- The Initial Analysis Team set up the Installation Table to default a Member's state tax location based on home address. Upon the Member's initial hire, this might be the Member's State of Legal Residence (on which state tax liability is based). However, whenever a Member changes home address, a new state tax record is automatically inserted in the employee tax data record and tax deductions are based upon that record. This will be incorrect majority of the time. If we turn off the auto update, we will need an alternate procedure (manual) to make sure employee state tax record is correct. We must also take into account the impact this issue will have on state tax information showing on the military LES.

- During initial analysis, the Payroll Team chose to set up one earnings code for BP that was all-inclusive (i.e., BP for all tour lengths, Drill Pay, etc.) The downside of this decision is that all BP was taxed at an annualized rate. Currently, tours with a duration of 30 days or longer are taxed at a monthly rate and tours of a shorter duration are taxed on a daily rate.

- Per PeopleSoft consultant recommendation, the Payroll Team tested two different methods to pay BAH: (1) Multiple Components of Pay functionality on the Employee Job record and (2) a flat BAH amount inserted at the employee level on the Additional Pay panel. Only the latter method was successful.

Payroll Processing

- Pay Run Setups. Pay Run IDs, in conjunction with Pay Calendars, are production-control type setups which drive PeopleSoft payroll processing. During initial analysis scenario planning, we set up multiple pay frequencies to run under a single Pay Run ID. The mingling of frequencies under one pay run complicated tracking and reconciliation, especially regarding dates paid and, in the event of inter- or intra-service transfers, which business unit paid for which dates. The co-mingling appeared to be the cause of an apparent duplicate Leave Sell (LVS) payment shown on the April pay registers. For example, Army Member Jacobson became part of the USMC effective 10 April. He sold 40 hours leave concurrent with the transfer. The April semi-monthly pay register, dated 15 April 2000, and the monthly register, dated 30 April 2000, both showed the same Leave Sold pay entry.

- Pay Run Confirmations. On occasion the Payroll Team was unable to complete and confirm a current payroll because previously initiated Pay Run IDs had not been finalized and confirmed. The reason is that PeopleSoft requires all open previous pay runs to be confirmed before initiating and finalizing current runs. This should not be a problem when going live, in that we will run and complete payrolls sequentially. However, targeted analysis needs to be aware of this restriction to avoid having to spend time researching and identifying which previous runs are still open and thus need to be confirmed.

- Presheet Audit. The PeopleSoft payroll process includes a PreSheet Audit report. The audit is designed to analyze table setup and data values that could potentially cause problems with the pay sheet creation process. For scenarios 1 and 7 payrolls, the audit process returned error messages (see Appendix O for an example) that the deduction codes for AFRH and ADVPAY were not set up on the Company General Deduction Table. The Payroll Team reviewed the Company General Deduction Table and verified that the deduction codes were in fact set up. Although the Team could not determine the exact cause of the error message, limited research and follow-up discussions indicated it could be related to the error reporting process in that previous PeopleSoft versions had such deductions as part of the Benefits Administration application. When a subsequent PeopleSoft version made these deductions part of General Deduction Data, the error report was not updated to reflect the changes. The presheet audit process on all subsequent pay runs consistently returned the same error message. PeopleSoft is currently researching this issue and will provide additional documentation.

- Pay Distribution Report (targeted analysis). The Payroll Team could not generate the Pay Distribution Report for any pay runs because the Account Code Table was not completely setup. Specifically, the Account Codes were not linked to other required data such as SETID, Company, Business Units, and Department Codes. This area needs significant time and analysis during targeted analysis as it will form the basis for the DPM accounting interface with the DCD. As noted above, PeopleSoft does provide tables to establish general ledger account information that will be more closely analyzed during targeted analysis.

- Disbursing Recommendation. The PeopleSoft applications purchased for DIMHRS deliver full disbursing functionality to print checks and create Electronic Funds Transfer (EFT) payments. DoD should fully evaluate this capability and consider using it to disburse military pay. This would eliminate the need to establish and maintain a high visibility interface with the Defense Standard Disbursing System (DSDS).

- Member Payment Schedule. The Initial Analysis Team recommends that the DoD explore the possibility to pay all Members on a semi-monthly pay schedule and use the PeopleSoft feature for "off cycle" payments for those Members who receive pay at other frequencies.

3.2   Supportability Assessment

3.2.1   FP&A Mapping Results Summary

This section summarizes the results of the Supportability Analysis Team's mappings between the FP&A processes and PeopleSoft Components. Appendix L contains the FP&A Process Mapping to PeopleSoft Components and related comments.

3.2.1.1 *Summary of Key Delivered PeopleSoft Functionality Comparable to DIMHRS Functions*

The following sections summarize, for each DIMHRS function, the comparable PeopleSoft functionality identified by the Supportability Analysis Team. The mappings between FP&A processes and PeopleSoft components do not imply that all required functionality exists in PeopleSoft, only that some comparable functionality is delivered. Targeted analysis teams, with appropriate DoD and Service Representatives, need to perform a more in-depth analysis of DIMHRS data and business rules against PeopleSoft capabilities.

F1 Process Accessions

- PeopleSoft provides a Hire process that captures Member personal, job, and service information. PeopleSoft-delivered Hire and Rehire Action Codes can be used to enter non-prior and prior service accession actions.

- PeopleSoft Job Data provides an effective-dated history of all Member personnel and service actions.

- PeopleSoft Contract Data provides the capability to standardize accession contract clauses (e.g., terms of service and incentive programs) across the DoD.

- PeopleSoft Employee Checklists provide the capability to develop standard checklists for use in executing military accession personnel and pay processes.

- PeopleSoft provides the capability to track dependents/beneficiaries declarations and benefit elections.

F2 Develop Personnel

- The PeopleSoft Manage Competencies module provides substantial capabilities to track Member competencies (such as skills, specialties, and designation) and accomplishments (such as education, licenses/certifications, tests, and memberships), as well as associate competency and accomplishment requirements with user-defined roles (such as a job or position). The same set of competencies can also be associated with training courses in the Administer Training module. By maintaining Member competency, accomplishment information, and position/job requirements, PeopleSoft is able to perform matches between Members and position/job requirements. Since Manage Competencies is integrated with the Administer Training module, the match results also include a link to training courses associated with the desired competencies. These capabilities will allow the Services to quickly identify Member training requirements.

- The PeopleSoft Plan Careers module is also integrated with the Manage Competencies and Administer Training modules, and provides the capability to document and track a Member's career path.

- The PeopleSoft Administer Training module provides full training course management capabilities, which include course catalog information, course enrollment and wait list management, course completion and evaluation, tuition reimbursement, establishing training programs, and associating them with positions or jobs, etc.

F3 Manage Personnel Strength

- The Department Security Tree within the PeopleSoft Tree Manager provides capabilities to capture the operational reporting structure between organizational segments in one tree depiction as well as depicting support relationships for these organizations with staff support functions (e.g., personnel, payroll) in other trees.

- The PeopleSoft Manage Positions module provides an integrated, table-driven design that maintains an effective-dated history, regardless of fill status of all positions in each segment of the organization. Positions are defined by a description and in terms of requirements such as job code and skills. The system supports analysis activities by showing both current and proposed positions in terms of an active or inactive status for each position.

- The PeopleSoft Transfer Action (within Job Data Actions) capability links a Member to a position with effective dates for the start and stop of this relationship. The system retains information on the Member's current position while the Member is being projected into a new position during the Transfer process.

- The PeopleSoft Manage Competencies module has a capability for users to search Member competencies (such as skills, specialties, and designation) and accomplishments (such as education, licenses/certifications, tests, and memberships) for Member matches against position requirements projected for fill action. Since Manage Competencies is integrated with the Administer Training module, the match results also include a link to training courses associated with the desired competencies. These capabilities will allow the Services to quickly identify Member training requirements as part of the Transfer process.

- The PeopleSoft Track Global Assignments module provides management capabilities when a Member is "deployed" from a "home" position to another "host" position (usually overseas) for a specified period of time. The system automatically provides appropriate annotations on reports during the period while the Member is working in the "host" position and the "home" position is being held for the Member's return. This appears to support individual deployment actions to Theaters that have been part of all recent DoD Specified/Contingency Operations.

- The PeopleSoft Employee Checklist module is a tool for monitoring standardized lists of discrete action items during the execution of "general" actions such as Transfer or Global Assignment. Current Service Headquarters assignment processing has fostered locally developed paper and electronic checklists for the assignment selection process. This PeopleSoft tool will expedite the standardization of these lists while greatly facilitating monitoring of each assignment manager/detailer's progress on the appropriate checklists.

F4 Sustain Personnel

- The PeopleSoft Monitor Health/Safety module provides for the capture of detailed information about incidents and injuries linked to both Members and non-Members (e.g., contractors in a Contingency Operation Area) in the database. This capability would provide support for the management of casualty information and assistance efforts.

- The PeopleSoft Promotion Action (within Job Data) capability records promotions while enabling the personnel specialist to easily evaluate the degree of fit between the Member's position and the new grade.

- The PeopleSoft Disciplinary Action module provides for recording a description, the intermediate steps taken, and the final resolution for a Member.

- The PeopleSoft Honors and Awards module is table-driven to foster standardization and provides for the capture of the Grantor and issue date. PeopleSoft Workflows can also be developed to expedite and track the review of Honors and Awards submissions.

- The PeopleSoft Employee Reviews module records consideration of weighted factors by multiple reviewers (evaluators) in addition to goal tracking and general comments. PeopleSoft Workflows can also be developed to facilitate and track the completion of evaluator actions.

- The PeopleSoft Grievances module provides a means to track Member appeals of performance reports and other government actions. A grievance description is linked to a record of the intermediate steps and the final resolution.

- The PeopleSoft Contract Data module supports capturing the standardized details (e.g., clauses for contract periods and incentives, and effective dates) of reenlistment contracts/extensions as well as officer agreements for service obligations and regular augmentation.

- PeopleSoft Employee Checklists provide the capability to develop standard checklists for use in executing many personnel and pay processes.

F5 Support Quality of Life

- PeopleSoft Contract Data provides a means to standardize the capture and review of Family Care Plan information across the DoD.

- The PeopleSoft Monitor Health/Safety module is capable of capturing detailed information about human relations and alcohol/drug abuse incidents linked to both Members and non-Members (e.g., contractors in a Contingency Operation Area) in the database. This capability would also provide information for actions subsequently needed within the PeopleSoft Disciplinary Action module.

- The PeopleSoft Manage Competencies and Administer Training modules provide capabilities to track human relations and alcohol/drug abuse education programs.

F6 Perform Military Personnel and Pay Administration

- PeopleSoft Employee modules for Earnings Tables, Additional Pays, Tax Tables, Garnishments, General Deductions, and Special Accumulators constitute a general framework to support military pay. The PeopleSoft local Tax Table information provides a foundation for a long-standing requirement to address local taxes for certain Reserve Pay actions.

- The PeopleSoft Benefit Administration application supports automated eligibility rules and Member enrollment in benefit plans such as SGLI and Dental.

- PeopleSoft Job Codes and Role Competencies can support the administration of special pays.

- The PeopleSoft Employee Checklist module provides a tool for delivering standardized lists and monitoring discrete action items during the execution of "general" actions such as Transfer or Global Assignment. Current assignment processing at many DoD installations have fostered locally developed paper checklists for in- and out-processing. The PeopleSoft tool will expedite the standardization of these lists while greatly facilitating monitoring of each Member's progress on the appropriate checklists.

- The PeopleSoft Monitor Health/Safety module expedites the capture of required medical information (e.g., physical, eye, and hearing examinations, weight control) about Members.

- PeopleSoft Self Service will enhance Members' convenience to electronically provide information (e.g., address and home phone) when verification by a military official is not required.

- The PeopleSoft Security module provides the tools to restrict user access to sensitive personnel information.

- The PeopleSoft Disciplinary Action module provides for recording a description, intermediate steps taken, and the final resolution for both Uniform and Non-Uniform Military Justice Actions.

- PeopleSoft Monitor Absences capabilities will support DoD requirements to monitor Leaves and Duty Status changes.

- PeopleSoft Contract Data and Benefit Administration (recording of Survivor's Benefits Program (SBP) election) provide capabilities to manage Retiree specific actions.

F7 Transition Personnel

- PeopleSoft Contract Data provides a capability to record standardized information on Reenlistment Eligibility Codes as well as other details on specific Discharge, Resignation, and Retirement Programs.

- The PeopleSoft Transfer Action (within Job Data Actions) will support both Intra-Service and Inter-Service Member Transfers.

- PeopleSoft Employee Checklists provide the capability to develop standard checklists for use in executing separation, discharge, and retirement processes.   This will facilitate monitoring of each Member's progress on the appropriate standard checklists.

3.2.1.2   *DIMHRS Requirements With No Comparable Delivered PeopleSoft Functionality Identified*

The Supportability Analysis Team was unable to identify delivered PeopleSoft functionality to support the following list of activities and outcomes required by existing DoD personnel and pay functions. The initial analysis scope did not allow for analysis of all PeopleSoft products. Targeted analysis teams should perform a more in-depth analysis of these items to determine if a delivered PeopleSoft capability exists or develop detailed functional requirements to address these items.

- Action Request/Reason Codes – DoD personnel and pay actions (e.g., voluntary retirement, pay transactions, reclassification, contract extension, reenlistment, transfer, pay advance) require unique identification and automatic workflow for routing to Authorization Authorities. PeopleSoft delivers general workflow and notification capabilities, however DoD needs to define specific workflow rules, roles, and routings for DoD processes.

- Member Waiver Tracking and Waiver Authorization Authorities – DoD Members may request that Authorization Authorities waive criteria specified for a personnel or pay process. Tracking of waivers and waiver requests must include each request routing through the final record of the Authorization Authority's decision.

- Member Order Tracking, Generation, and Reporting – The decision of an Authorization Authority for many pay and personnel actions is recorded within a military order. This grouping of information for a specific action must receive a unique identification from PeopleSoft when the process starts. Tracking of the order request must include each request routing through the final record of the Authorization Authority's decision. PeopleSoft reports/inquiries will be required to generate approved orders. Specific workflow rules will also be required to report the routing order according to specified criteria.

- End Strength Reporting – The U.S. Congress specifies for each fiscal year, by service, a strength (number of military personnel in specific categories) ceiling that can not be exceeded at the end of that year. PeopleSoft queries and reports will have to be built to monitor strength during the entire fiscal year.

- Specified Operations and Stop Loss Programs Tracking – DoD personnel and pay processes often have special process provisions that may be implemented by a specific Authorization Authority during the period of a Specified Operation. During part of the Desert Storm Contingency Operation, for example, the Air Force Chief of Staff implemented the Stop Loss special provision for service termination. Air Force Members in occupations deemed critical to this combat operation were informed that all pending separations from active duty were suspended until further notice. PeopleSoft must be able to record the effective dates for a Specified Operation special process provision, as well as what operation, and to control the special actions for all Members impacted by the provision.

- Additional Position data fields (e.g., Statutory Tour, information for Mandays tracking and reporting) – PeopleSoft must be capable of associating additional fields required by personnel and pay processes with individual positions. For example, a position utilized for active duty can be specified in a legal statute to only be filled by Reserve personnel. Such positions must contain a Statutory Tour identification.

- Position Fill Priority – PeopleSoft must be capable of identifying a prioritized set of positions to fill by Authorizing Authority. This capability enables current assignment officials to focus their efforts according to the direction of the appropriate Authorizing Authority.

- Selection Board Tracking (Members eligible for consideration, board selection, selected Members, disposition, results, etc.) and Reporting Requirements – While the work of Promotion Selection Boards is outside of DIMHRS support, PeopleSoft must support processes that provide information to these boards and receive information from them. PeopleSoft reports/inquiries are needed to assist officials in selecting the group of Members that will be considered by a specific board. The system must track all selection board actions for all Members involved with a specific board. PeopleSoft must also record actions taken to implement the board's decision on each Member.

- Member Record Review Tracking – PeopleSoft must be able to maintain effective-dated records of when Members review their physical personnel records.

3.2.2   DIMHRS Issues

The following section contains a summary of the major DIMHRS issues that the Initial Analysis Team generated during initial analysis. The Issue Review Forms are provided in Appendix P. The personnel and pay communities need to address these issues before DIMHRS (Pers/Pay) requirements can be finalized and provided to the JPMO for development.

1. PeopleSoft pay computations are inconsistent with current DoD policy.

   Current DoD policy bases pay computation on a 30-day month for all 12 months in a year. PeopleSoft bases pay computations and calculations on the actual calendar year. PeopleSoft pay amounts are annualized based on industry best practices using 12 months, 52 weeks, 260 days, and 2080 hours. Although full and semi-monthly pay results are equivalent using PeopleSoft and DoD rules, pro-rated pay calculations do not yield the same results. PeopleSoft recognizes that this should work and has agreed to ensure the computations will work correctly.

2. Capturing military job specialties using Job Code or competencies.

   PeopleSoft maintains Job Codes that are comparable to DoD occupations, however, the Job Code field length is only six characters. This is not long enough to accommodate the DoD occupation codes (e.g., MOS/AFSC/Rating), secondary and tertiary MOS/Rating codes, plus additional special skill indicators (e.g., SQI/AQD). PeopleSoft also delivers extensive Competency Management capabilities. The Manage Competencies module is designed to track individual Member competency and accomplishment proficiency/readiness ratings, associate competencies and accomplishments with roles (position, job code, job family, or job function), and perform match/gap analyses between Members and Roles. Use of the Manage Competencies module will allow DoD to capture all components of the current occupation codes.

3. Need for a language listening proficiency rating.

   PeopleSoft HRMS delivers the capability to track Read, Write, and Speak proficiency ratings for languages. The military also tracks a Member's proficiency rating for language listening.

4. Capturing contract signatures.

   PeopleSoft provides the ability to electronically track Member Contract Data. The Signature Date/Probation Data page within the Contract Data component contains a field to track a single signature date and a single Responsible ID. DoD contracts/appointments require both Member and Authorization Authority signatures and dates. Technology exists today to electronically authenticate user identification (e.g., PKI) and to electronically capture a person's signature.

5. Establish one FEIN for all military pay for DoD.

   Currently, DoD is utilizing seven different FEINs to report military Member pay information to the Internal Revenue Service (IRS) and when producing W-2 statements. Within PeopleSoft there are many payroll and tax processing benefits to using one FEIN and consolidating state identification numbers into one per tax reporting state. PeopleSoft allows the same FEIN to be used by multiple companies, however, a single company may only have one FEIN. During initial analysis foundation table setup, the best means to support the requirements of the DoD was to establish one Company ("DoD"), and therefore one FEIN.

6. Use of SSN or an automatically generated PeopleSoft Member identification number.

   PeopleSoft provides customers with two options for assigning unique identification numbers (EMPLID) to Members: manual assignment or auto-generation. This is a significant issue since the Social Security Administration currently issues duplicative SSNs. In addition foreign nationals and other individuals involved with joint operations do not have SSNs, and must be uniquely identified in DIMHRS. Industry best practices recommend not using SSN as the unique identifier due to privacy act considerations and the increasing incidence of identity fraud. DoD currently has a strategy for dealing with duplicate SSNs and the feasibility of incorporating the DoD approach should be reviewed because so many external systems and processes are dependent on the DoD identifier.

7. Potential use of special and foreign characters in Member names.

   There are many Members currently within the military with a legal name containing special and foreign characters. PeopleSoft supports special characters and delivers the flexibility to use alternate character sets (foreign characters) within the Member Name. Foreign characters are defined as special characters used by different languages (e.g., the tilde in Spanish, the cedilla in French, and the umlaut in German). In addition, PeopleSoft supports other characters, such as the apostrophe, period, and hyphen;

however, DoD legacy systems generally do not allow these characters within the Name field.

8. Member discretionary third-party allotments.

   Current DoD policy restricts the number of discretionary third-party allotments a Member may have to no more than six. PeopleSoft allows up to 99 different distributions of "Net Pay" to Member-owned accounts and unlimited deductions and distributions payable to third-parties through interface with financial disbursing systems. As delivered, PeopleSoft does not provide a method to restrict the number of pay distributions or deductions at the Member record level.

9. Withholding local taxes for Reserve Members.

   There is an outstanding requirement (DODFMR 570701.D) to withhold local tax for Reserve Members that have not been implemented in DoD legacy systems. Recommend that implementation of local taxes occur at DIMHRS full operational capability (FOC) to ensure equity across the Services.

10. Supporting multiple Member payment schedule options.

    DoD currently allows Members of the Army and Air Force to elect to receive their pay on either a semi-monthly or monthly pay schedule. Members of the Navy and Marine Corps are paid only on a semi-monthly pay schedule. PeopleSoft provides flexibility in pay schedules and can support both semi-monthly and monthly pay schedules. Allowing multiple payment schedules may result in higher implementation and maintenance costs to ensure accurate pay computation and distribution. The Initial Analysis Team recommends that DoD adopt the semi-monthly payment schedule for all military members.

11. Implementation of Timing of PeopleSoft Position Management.

    PeopleSoft Position Management provides the capability to drive the system based on positions/billets. Position Management provides an integrated, table-driven design to keep an effective-dated history of all positions in the organization, regardless of fill status. The DoD utilizes position management in manpower planning. While the Initial Analysis Team agrees that DIMHRS would benefit from the use of Position Management, there are technical issues that must be resolved related to interfaces between Service manpower systems and PeopleSoft that may impact implementation. Also, the use of Position Management may require additional interfaces with Service manpower systems that are not currently defined for DIMHRS.

12. Leave Accrual Calendar Year versus Fiscal Year.

    PeopleSoft delivers the capability to accrue leave based on a calendar year. DoD accrues on a fiscal year basis. The leave accrual tables in PeopleSoft need to be reviewed. PeopleSoft leave accrual and carry-over is based on hours and calendar year. DoD leave

accrual is based on days and fiscal year. A decision needs to be made whether or not to change DoD policy or to create custom leave accrual processing in PeopleSoft.

3.2.3   Internal Initial Analysis Issues

As the Initial Analysis Team learned more PeopleSoft Version 8.0 functionality, its business logic, and processing capabilities, several issues emerged that required further research and investigation on behalf of the PeopleSoft consultants. Specifically, these were functional issues that were beyond the consultants' expertise and/or not available via the documented resources (i.e., PeopleBooks) provided. Issue types ranged from abnormal software behavior (i.e., tables not populating properly, pay functions not calculating accurately) to requests for additional clarification/explanation of application specific logic. To document as well as track the progress of each issue, the Initial Analysis Team created a Microsoft Excel document titled "Initial Analysis Internal Issues Log" (reference Appendix Q). This document served as an electronic "parking lot" to capture critical PeopleSoft issues that needed to be resolved to complete scenario execution and analysis.

The Initial Analysis Team categorized the captured issues based on criticality. It should be noted that due to the specific scope of the initial analysis, several issues categorized as a "low severity" might be of greater significance during targeted analysis. Below are descriptions and explanations of the ten most significant issues the Initial Analysis Team encountered.

1. PeopleSoft fails to calculate pro-ration for non 30-day months correctly.

    Status: Not resolved. Per PeopleSoft consultants, none of the three delivered pro-ration calculations will work for military pay. The Initial Analysis Team created a DIMHRS issue to address the need for PeopleSoft to correct the pro-ration pay processes to reference the Frequency Table. PeopleSoft has agreed to take responsibility for these corrections.

2. Compensation data does not default on the Member job record from the position data as expected.

    Status: Resolved for initial analysis. Per PeopleSoft consultants, a change to PeopleCode was needed. This is a PeopleSoft software defect and expected to be fixed in PeopleSoft Version 8.3. The PeopleSoft consultant applied the fix in the PSDIMHRS database.

3. Pay Sheets pay amounts do not reflect compensation rates equal to those indicated on the Member job record and the salary grade/step table.

    Status: Not resolved. According to PeopleSoft consultants, the compensation is correctly posting to the Pay Sheets for full pay period salaries, however, the delivered pro-ration calculations do not support the DoD's 360-day pay calendar.

4. Employee Tax Data/State Withholding Tax (SWT) Marital Tax Status: When entering data for Member with "TX" as Legal Residence State, an "S" for single defaulted (from Federal

Tax Data 1 panel) into the SWT Marital Tax Status field. For non-tax states this should default to "N" for not applicable.

Status: Not resolved. The issue has been referred to the PeopleSoft Global Service Center (GSC) and the PeopleSoft consultants are awaiting a response.

5. When a transfer was processed, Arrears was created when it should not have.

Status: Not resolved. The PeopleSoft consultants are currently researching this issue.

6. The Payroll register displays branch of service from current job record when it should not.

Status: Not resolved. Per PeopleSoft consultants, this issue will require a modification to a delivered PeopleSoft report.

7. Additional pay is paying past the End Date.

Status: Not resolved. PeopleSoft is currently researching the issue.

8. While entering Disciplinary Action data, the Initial Analysis Team was only able to enter one resolution. When the team attempted to add a second resolution on the Resolution page, the system automatically inserted a new Action and the Reported Date automatically defaulted to the system date.

Status: Not resolved. PeopleSoft is currently researching the issue.

9. The user can not uncheck unemployment insurance box in Employee Tax data.

Status: Not resolved. Per PeopleSoft consultants, this field is hard-coded in PeopleCode. The issue has been referred to the development group.

10. There is no place for data pertaining to account or policy number at employee level for third-party payment.

Status: Not resolved. Per PeopleSoft consultants, DIMHRS should add custom fields to the delivered General Deduction Data page and the associated record to store the necessary information.

All in all, there were 38 issues/questions that required the PeopleSoft consultant's attention during initial analysis. Of these, approximately 25 were still open or currently being researched and 16 could be considered critical (i.e., must be resolved) before or shortly after targeted analysis begins. Non-critical issues will mostly be addressed via additional PeopleSoft training and workshops during the targeted analysis.

Specific final metrics include:

•   Total number of issues/questions raised: 38

•   Percentage still outstanding: 65%

- Percentage outstanding considered serious/critical (in relation to targeted analysis): 42%

- Percentage considered non-critical (in relation to targeted analysis): 58%

3.2.4   Implementation Issues

Integrated Personnel/Pay

The PeopleSoft product delivers integrated personnel, pay, and benefit functionality.   The applications and modules within the product are separable; however, setup and processing functions are highly interdependent. Foundation table setup for Payroll and Benefits is highly dependent on Human Resources table setup. Much of the data entered for personnel tracking is also used for processing benefits and payroll. Most personnel and benefit actions directly impact pay processing. The Initial Analysis Team experienced numerous examples that reinforced how one table change can impact multiple processes within the PeopleSoft product. It was often necessary to have human resource, benefit, and pay perspectives to sufficiently research and resolve a processing problem.

The PeopleSoft consultants recommended an integrated implementation approach that is consistent with industry best practices for COTS HRMS. The Initial Analysis Team views integrated implementation as the key to compressing the timeline to reach IOC. Even with all members of the Initial Analysis Team working primarily in the same room, it was sometimes difficult to ensure communciation across Human Resources, Benefit, and Payroll functional teams. With an integrated product, communication of issues and setup/processing decisions must be immediate and continuous to prevent selection of incompatible options and rework. Periodic communications (anything less than 2-3 times/day) is inqdequate to achieve the level of functional integration required.

The implementation of an unmodified version of PeopleSoft requires extensive data entry into Foundation and Setup Tables. This is time consuming, resource intensive, and requires in-depth knowledge of both PeopleSoft and DoD functions and processes. The results provide self-documentation that can easily be updated from the working structure of the DoD (e.g., organizational structure and position identification). Integrated Targeted Analysis is Necessary.

A significant number of setup and processing issues have been referred to targeted analysis to be explored or refined. Because setup and processing decisions in one area of the product impact setup and processing in other product areas, and because of setup complexity, setup and processing decisions must be made collaboratively.

The PeopleSoft consultants recommended an integrated analysis approach that is consistent with industry best practices for COTS HRMS. The Initial Analysis Team views integrated analysis as key to compressing the timeline to reach IOC. Even with all members of the Initial Analysis Team working primarily in the same room, it was sometimes difficult to ensure communications across Human Resources, Benefit, and Payroll functional teams. With an integrated product, communications of issues and setup/processing decisions must be immediate and continuous to

prevent selection of incompatible options and rework. Periodic communication (anything less than 2-3 times/day) is inadequate to achieve the level of functional integration required.

Interfaces

During Supportability Analysis and mapping PeopleSoft functionality to FP&A processes, the Initial Analysis Team identified potential areas of data exchange to be detailed in targeted analysis. Areas include dependent information, position/manpower tracking, recruiting, pay distribution, and accounting processes.

The Initial Analysis Team used the PeopleSoft-delivered web and client interface to populate records. Architecture designs that utilize alternate means of data capture would impact the Functional Requirements process.

The scope of initial analysis did not include technical interfaces. DIMHRS Technical Architecture will address integration of PeopleSoft modules and interfaces specified in the ORD during technical targeted analysis.

Rollout to Services

The latest Migration Strategy addresses the need to implement both Personnel and Payroll functionality as an integrated release. This approach significantly reduces the amount of scaffolding required and dramatically reduces program costs. This strategy is consistent with industry best practice for COTS HRMS and is supported by the Initial Analysis Team.

3.2.5 Cultural Issues

Self-Service

PeopleSoft provides capability to build web interfaces for Member self-service to update specified information and submit requests; however, these products were not in scope for initial analysis. Automating Member initiated actions and data update will require review and potential modification to authorization approaches. Enabling Member access to specified data through the web will require detailed access and security definition. A high-level Service workshop is being scheduled by JR&IO to review self-service potential across the Services and detail self-service requirements.

Cross Service Support

PeopleSoft utilizes common data and processes for Personnel, Benefit, and Payroll, and this commonality provides a foundation for cross-service support. Enabling cross-service support depends heavily on foundation and setup tables, as well as security setup. PeopleSoft provides multiple options for sharing or restricting access to data. The Initial Analysis Team utilized options to share data across Service components and across DoD, and options to restrict access to Component level data. Additional options will be investigated in targeted analysis.

The flexibility of PeopleSoft also allows for Service-unique requirements. Cross-Service support will require specialized training to ensure Service-unique data and actions are handled appropriately by Members of other Services. The Initial Analysis Team identified PeopleSoft user-defined Help and Workflow as potential automated supports.

Training

With any large-scale systems implementation, training is a key factor to success. Both formal and informal training are needed. Sufficient initial training is critical to any change management strategy. Use of COTS HRMS products represents a significant shift for people who have limited system exposure or people who work primarily with custom systems.

Use of COTS HRMS products requires knowledge of systems and data as well as the processes being executed. Training plans will need to include different levels of system training depending on user familiarity with systems and depending on user role. Use of PeopleSoft will require understanding of new terms and concepts and adaptation to new approaches for accessing and using data.

The integrated nature of the PeopleSoft product will require cross-functional training to enable Personnel and Payroll specialists to understand system operation and to provide them with a foundation for problem-solving. Utilizing delivered PeopleSoft processes will require some shifts in definition of "personnel functions" and "pay functions".

The complexity of integrated COTS HRMS systems requires just-in-time training. Users must be able to immediately utilize training in their jobs.

3.3   Data Assessment

3.3.1   Identification of Required Fields

The Data Team used the artifacts provided by the functional teams to establish "required fields" for analysis. These fields were determined to be:

  a.   Any field that was required on the foundation tables or to process the scenarios.

       These fields were established by reviewing the screen prints provided by the functional teams and annotating which fields from the screen were used in either the foundation tables establishment or the processing of the scenario.

  b.   Any field that was on the screen shots, but was not used in the foundation tables or scenario processing but was identified in the PeopleSoft HRMS as a required field.

       These fields were identified using PeopleSoft Tools Application Designer – the field definition in PeopleSoft includes a "required field" indicator.

These fields were identified using the DIMHRS PeopleSoft Data Analysis Tool Database. This tool is documented in Appendix K.

3.3.2   Mapping PeopleSoft Physical Data Elements to DSDM

The Data Team performed a preliminary analysis on the data contained in the PeopleSoft applications and modules used to execute the scenarios created for the initial analysis. The Data Team used the DART to compare the PeopleSoft Physical Data Elements (record.fields) to the DSDM. By establishing the PeopleSoft physical fields, the Data Team was able to determine if the concept represented by the PeopleSoft field was present in DSDM. The results of that analysis are provided in Appendix K.

The Data Team identified 1,421 PeopleSoft data elements in the PeopleSoft modules used for the scenarios. Many of these data elements were internal PeopleSoft fields used to run PeopleSoft processes or control defaults and data usage. Additionally, many of these data elements are not applicable to DoD. The Data Team found approximately 486 mappings between the PeopleSoft fields and DSDM. 217 DSDM elements were used in these mappings, since one DSDM element was often mapped to several PeopleSoft fields. If a concept appeared to be missing in DSDM, the Data Team performed preliminary research of the Defense Personnel Data Model (DPDM), the DFAS Finance and Accounting Data Model (DFADM) and Defense Data Dictionary System (DDDS). If the concept was present in any of these resources, a mapping was included in DART that documents which resource included the concept. Approximately 125 of these missing concepts were captured in DART.

In this preliminary analysis, no attempt was made to map the DIMHRS information requirements to PeopleSoft. During targeted analysis a more rigorous and complete data mapping will be performed on all applicable PeopleSoft data elements and the DIMHRS information requirements.

SECTION 4

4.   CONCLUSIONS

The results of the initial analysis demonstrate that using a COTS HRMS application as a foundation for DIMHRS is feasible. However, successful implementation depends on the flexibility of DoD to accept industry best practice processes to satisfy DIMHRS business requirements, to execute essential change management strategies, and to implement a single integrated personnel and pay system for all Service components.

While delivered PeopleSoft applications adequately supported the DoD human resources and benefit processes, included in the initial analysis scope, there were significant issues with the payroll processes. Much of this was due to the exclusion of the PeopleSoft Time and Labor application in the initial analysis scope. In addition, the vendor provided inconsistent guidance regarding how to best set up and implement PeopleSoft pay processes to accommodate DoD pay requirements.

4.1   Initial Analysis Process

- The Initial Analysis Team consisted of representatives from each of the Services, as well as the JR&IO, DPPO, and JPMO. This mix of participants provided a wide range of functional and technical expertise in the DoD business practices, Service-unique requirements, and DoD personnel and pay system knowledge. The cross-functional team concept offers the best approach to analyzing and implementing a personnel and pay system. The integrated nature of personnel and pay actions in both PeopleSoft and DoD business practices makes a compelling argument for sustaining an integrated implementation team approach.

- PeopleSoft provided functional and technical consulting services during the initial analysis. The consultants and Initial Analysis Team analysts both experienced a learning curve at the beginning of the process. The consultants needed to understand DoD business requirements and the Team members needed to understand PeopleSoft functionality and industry best practices. While the human resources and benefits consultants provided the support needed to adapt and map DoD personnel requirements to PeopleSoft, the payroll consultants were not as successful. The first PeopleSoft payroll consultant, who was not experienced in PeopleSoft version 8.0 or Time and Labor, initiated payroll table setup options that subsequently had to be corrected by his replacement. The succeeding payroll consultant joined the Initial Analysis Team a few weeks into the effort. This chain of events considerably impeded team progress as the second consultant needed time to learn the DoD pay business practices, review the pay table setup, troubleshoot and reconcile the table setup to better represent DoD processes, as well as understand her role on the team. Once she overcame the initial complications, the payroll consultant worked conscientiously to address payroll issues.

- The approach used by the Payroll Team was to impose DoD pay computation rules and the 30-day month concept on the commercial product, instead of analyzing the results using delivered pay computation rules and a standard commercial calendar. This approach forced the COTS to adapt to DoD business practices rather than evaluating delivered commercial practices. Little analysis was done to assess the ability of delivered commercial best pay practices to support DoD payroll. Consequently, the Initial Analysis Team cannot make a comprehensive assessment of how well the commercial best practices can support DoD pay processes based on the results.

- The Time and Labor application was not included in the scope of initial analysis. Early in the effort, this shortfall further complicated payroll setup analysis. Certain DoD pay activities, such as Reserve drill, short tour accounting, and other entitlements based on a daily rate, require positive time entry functionality that is delivered in the Time and Labor application, not the HRMS and Payroll applications used for initial analysis. As a result, the Payroll Team was forced to manually calculate and enter most of the Reserve pay transactions and all of the daily rate-based entitlements. Significant analysis of the PeopleSoft Time and Labor application is necessary to determine its capability to support DoD pay processes. This activity must occur early in the targeted analysis effort.

- Benefits Administration enforces eligibility rules and automatically applies them to events that require benefit plan changes, such as intra-Service transfers. The Benefits Team encountered difficulty and spent considerable time in Benefits Administration table setup. This team had to revisit the table setup due to continual problems with benefits administration processing results. While PeopleSoft Benefits Administration has potential to streamline DoD benefit processing, the scope of initial analysis should have included only the base benefits provided in PeopleSoft HRMS.

- The Initial Analysis Team experienced some frustration related to PeopleSoft access. The user IDs provided to the team restricted access to many PeopleSoft system-related processing functions that were required to complete system setup. During targeted analysis, a select group of qualified individuals will require unrestricted access to PeopleSoft to perform analysis and troubleshooting.

- The Initial Analysis Team received training in PeopleSoft HRMS, Base Benefits, Benefits Administration, and Payroll. While this was a good foundation, additional PeopleSoft courses are necessary to execute targeted analysis. At a minimum, the following additional PeopleSoft classes should be provided prior to the start of targeted analysis:

  - Position Management
  - Competency Management
  - Career/Succession Planning
  - Payroll II
  - Time and Labor

- ○ Year-end Payroll
- ○ Pension I
- ○ PeopleTools Foundation
- ○ Application Engine
- ○ Time and Labor Rules
- ○ Business Process Design

4.2   PeopleSoft Application Functionality

- Product-Enabled Process Engineering/BPR – In the analysis of PeopleSoft the emphasis is to identify whether or not the required outcomes of a DoD business process are met by delivered PeopleSoft capabilities. If a desired outcome is not evident in the delivered product, the DoD needs to identify the valid need for the outcome, and determine whether current business practices or policy/law/regulations can change or whether it is necessary to modify the product to meet the outcome. This is a paradigm shift that emphasizes adoption of industry best practices.

- PeopleSoft fully integrates personnel and pay functionality. This integration results in interdependence of personnel and pay setup tables as well as transaction execution.

- PeopleSoft offers more self-service capabilities than legacy systems. Self-service requires DoD to entrust Members with the maintenance of their own personal data, such as address, W-4 tax elections, pay disbursement (direct deposit) options, and voluntary deductions. Since the Member is the authoritative source for this information, self-service should be considered as a viable option for collecting and maintaining this data. Implementing self-service will streamline certain data entry processes for DoD personnel and pay staff, thereby permitting reallocation of scarce personnel and pay administrative resources.

- PeopleSoft provides the capability to implement work-flow and automatic event triggers that streamline business processes. Capabilities include business process maps as an alternative to navigating through the menus, automatic notification of defined events such as accessions and promotions to defined user roles, and database agents that monitor defined events such as Member evaluation due dates. Targeted analysis should incorporate workflow into all follow-on analysis efforts, to include creating a business process map for each business process and defining event notification rules and roles.

- As an alternative to customizing the base product, PeopleSoft provides user exits to external programs and other products for DoD-specific processing. This approach mitigates PeopleSoft upgrade impacts.

- The Initial Analysis Team feels that one of the most significant challenges to successful implementation of PeopleSoft is change management. The change management strategy must address the paradigm shifts required to migrate the Services to an integrated personnel and pay system, as well as DoD-standard processes and data. There must be a comprehensive strategy for introducing the product and training Members in the new way of accomplishing DoD business requirements using commercial best practices.

SECTION 5

5.   REFERENCES

The following references provided guidance for the initial analysis:

- Clinger-Cohen Act, 1996

- DIMHRS PeopleSoft HRMS Implementation Planning and Strategy Workshop Project Charter, May 2001

- DIMHRS COTS HRMS Initial Analysis Plan, May 2001.

Table 5-1 cites the primary DIMHRS (Pers/Pay) program documents in the DIMHRS (Pers/Pay) Configuration Management (CM) Library, which were used in the development of the DIMHRS COTS Initial Analysis Final Report.

Table 5-1. Program Documents

CM Library Reference	Document	Date
N/A	Function, Process, and Activity (FP&A) Report	October 1999
QMNS_010	Mission Need Statement (MNS)	24 February 1998
QORD_003	MJI Operational Requirements Document (ORD)	April 2001
QORDN001	DIMHRS Performance Characteristics (Draft) (Non-Functional Requirements – (NFR))	09 Jan 2000